

Probationers in Iowa's Community-Based Residential Facilities

**A Report From
The Iowa Division of Criminal and Juvenile Justice Planning**

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INTRODUCTION

BACKGROUND

The Iowa Department of Corrections (DOC) was established pursuant to the Iowa Code, and is “responsible for the control, treatment and rehabilitation of offenders committed under law to the following institutions ...”¹ “The mission of the Department of Corrections is to protect Iowa communities from criminal harm. To accomplish this mission we must:

- Provide a safe and humane environment for staff and offenders in our institutions and communities.
- Work in partnerships with communities to supervise offenders at the appropriate level to manage risk.
- Provide programs and services so offenders can become law-abiding citizens.
- Be active in our communities’ efforts to prevent crime.”²

The Iowa DOC may differ from its counterparts in a number of other states in that the Iowa DOC is not directly responsible for overseeing all offenders who are sentenced to some form of sanction by the court, but rather just those offenders who have been sentenced to a term of incarceration in a penal institution operated by the State of Iowa. To supervise sanctioned offenders who are not actually incarcerated in state institutions, Iowa has created the Community Based Correctional program (CBC).

The Iowa Code provides that “There is established in each judicial district in this state a public agency to be known as the “ ... judicial district department of correctional services.” Each district department shall furnish or contract for the those services necessary to provide a community-based correctional program which meets the needs of that judicial district.”³ This approach was designed, in part, to allow differences among the districts, i.e., different programs and approaches are possible to address needs which may vary from judicial district to judicial district, just as the demographics and needs of the population may vary within different areas of the state.

RESIDENTIAL FACILITIES DEVELOPMENT

Each of the individual judicial districts' department of correctional services is mandated to perform a wide range of duties and provide a myriad of programs as part of the corrections continuum established by state law⁴. The continuum provides for five levels of increasingly restrictive offender sanctions, administered by DOC, CBC and other individuals or entities. In part, they are required to "Provide pretrial release, presentence investigations, probation services, parole services, work release services, programs for offenders convicted under chapter 321J2 (OWI), and residential centers throughout the district, as necessary."⁵ However, the judicial districts are not mandated to meet the legal requirements alone. Rather, the law provides that "The Iowa department of corrections shall provide assistance and support to the respective judicial districts to aid them in complying with this chapter, and shall promulgate rules pursuant to ... establishing guidelines in accordance with and in furtherance of the purposes of this chapter."⁶ It could therefore be concluded that the community-based corrections program is a partnership between the DOC and the CBC.

The focus of this study is the Residential Facilities Program, for which DOC and CBC share responsibility. DOC indicates that "The purpose of Residential Supervision is to provide accountability and treatment in a highly structured environment of higher risk/need offenders in order to provide increased pro-social behavior and reduce future criminal activity."⁷ The Residential Facilities Program serves the needs of a number of different, and somewhat diverse client groups. "Residential Supervision is provided for the following types of offenders: Work Releasees(,) Operating While Intoxicated(,) Probationers(,) Parolees(,) Federal (and) Direct Sentences."⁸

The Residential Facilities Program was instituted when three facilities opened in (state) fiscal year 1972. During state fiscal year 2000, twenty-one such facilities were in operation, with a combined capacity of 1,068 beds, approximately 526 of which were designated as probationer beds*. During that time period, 5,331 offenders were served in residential supervision.⁹ As indicated above, the program serves a number of different offender groups. However, the largest single group served was that of probationers, with approximately 2,636 of the 5,331¹⁰, or 49.4%, of state fiscal year 2000 residential facility clients coming from this group of offenders.

*** It should be noted that to allow for recidivism data to accumulate, much of the information identifying and describing the study population of probationers was collected some time ago. Also, it took longer for CJJP to analyze the data and prepare this report than was originally planned. Most of this report's descriptions represent the situation at the time the study population resided within the state's residential facilities. Because several hundred new residential beds have since been added in certain areas of the state, not all facilities that existed as of December 2001 are reported on or otherwise described in this report. Similarly, since this report's data was collected, there may have been significant changes in some of the policies and practices described through this report's presentation of information about the facilities and their probationer populations. CJJP regrets the extent to which some of its findings may be out-of-date but believes that this report can be useful to those interested in learning about Iowa's residential facilities as well as to those interested in improving the efficiencies and effectiveness of these important components of Iowa's correctional system.**

RESEARCH METHODOLOGY

STUDY FOCUS: PROBATIONER POPULATIONS AT THE RESIDENTIAL FACILITIES

Based on interest and support from the Governor's Office of Drug Control Policy (ODCP), DOC and the CBC's, CJJP agreed to conduct a study of the residential facilities within the state. With probationers constituting the largest client group, CJJP was asked to focus such study on the probationers and their relationship with the various residential facilities.

With a goal of providing data relevant and useful to the CBC's and DOC, CJJP solicited the assistance of several DOC and CBC personnel familiar with the operations of the residential facilities. These individuals volunteered their time to serve on a committee and assist CJJP in formulating the goals and parameters of this research. Through a series of participatory meetings, CJJP and the committee agreed upon certain goals that the research would seek to achieve. Those goals, as agreed upon through the meetings with the committee, are shown below:

Project Goals:

1. To provide the Office of Drug Control Policy (ODCP), the Iowa Department of Corrections (DOC) and the judicial district departments of correctional services (CBC's) with descriptive information concerning the functioning of the residential facilities within the State as relates to the probationer populations that they serve. This information should include, but not necessarily be limited to, the following:
 - A description of how the facilities operate within each judicial district, and to the degree possible, variations in operations between the facilities within each judicial district.
 - A description of the similarities and differences between the facility operations and policies among the judicial districts.
 - A description of the clients admitted to the facilities.
 - A description of the various screening and assessment tools utilized to evaluate client risk and needs upon admission to the facilities, including an analysis of the responsivity of the client.
 - A description of the generalized reasons (direct court sentencing, probation violation, etc.) for admission to the facilities within each judicial district, and a calculation of the percentage of admissions attributable to each reason.
 - A description of the use of waiting lists for admission to the facilities within each judicial district including, to the degree possible, how potential clients are added to and removed from such lists, the average length of time a client spends awaiting admission to the facility, in what environment the client awaits placement while on the waiting list, (jail, the street, etc.) and the variations in waiting list times and procedures between facilities within a judicial district.
 - A description of the "core programs" utilized within each judicial district.
 - A description of the "special" programs utilized within each judicial district.
 - A description of the "transition" programs utilized within each judicial district.
 - A description of the variations in the zero tolerance policies among the judicial districts in the areas of substance abuse, new arrests, etc.

- A description of the variations in the amount of time normally required to complete the programming within the facilities.
 - An enumeration and description of the technical violations utilized within each judicial district to determine whether or not a client's probation will be recommended for termination with incarceration, including, to the degree possible, any differences among the judicial districts in the number of such violations required before incarceration is recommended.
2. To provide ODCP, DOC and DCS with certain outcome data concerning the clients of the residential facilities within the State. These data should included:
- A description of the types of residential facility programming completions within each judicial district, and calculations of the percentage of clients achieving each type of completion, including "where do they go".
 - An examination of the relationship between the type of residential facility completion and the type of probation completion, successful and unsuccessful.
 - An examination of the types and numbers of technical violations that result in the termination of probation with incarceration, including the "floor numbers" for the violations before revocation is pursued.
 - An examination of the zero tolerance policies, including that on substance use during facility placement, and the resulting number of probation revocations with incarceration.
 - An examination of the relationship between the types of offenders, their Level of Service Inventory – Revised (LSI-R) risk levels and facilities' programming and probation completion outcomes.
 - An examination of the changes in LSI-R risk levels that occur between intake and program completion, and the identification of possible program related factors that contribute to those changes.
 - An examination of the relationship between core programs, special programs and transition programs and the types of program and probation completions.
 - An examination of the relationship between demographic and other client variables and the occurrences of the types of violations (technical, absconding, etc.)
 - An examination of the length of residential program participation and the types of probation completion and other outcome variables.

DEVELOPMENT OF RESEARCH QUESTIONS

After the goals of the research had been agreed upon, CJJP staff met to develop a methodology for achieving those goals. The first step in the process was to develop a set of research questions, the answers to which would provide the data necessary to achieve the project goals. After the development of the research questions, a questionnaire and a data collection instrument were developed to assist in the collection of the desired data. CJJP staff solicited the cooperation of a residential facility within the second judicial district to serve as the pilot site for the field-testing of the data collection instruments.

SELECTION OF THE STUDY POPULATION

To select a study population of probationers admitted to Iowa's residential facilities, each facility was contacted and requested to supply a list of all probationers admitted to their specific facility during the period of January 1, 2000 through March 31, 2000. This request produced a list of approximately 500 admitted probationers, or approximately 19% of the total number of probationers admitted to a residential facility in SFY 2000. After review by CJJP staff, it was determined that the preliminary study population would be comprised of all of the probationers admitted to a residential facility during the time period indicated. The preliminary study population was reduced slightly when, during the course of the research, it was determined a small number of individuals had been admitted to a facility while in a status other than that of probation. The removal of these individuals from the study population resulted in a final study population of 486 probationers. Data were collected to describe certain characteristics and the system processing of these 486 individuals before their facility admission through February of 2001.

ON-SITE VISITS

CJJP staff conducted on-site visits at each of the residential facilities serving probationers within the state. At each facility, an interview was conducted with the facility director, or his or her designee. The facility director received prior notice of the interview questions so that he or she was aware of the questions that would be asked, and thus afforded an opportunity to gather any data that he or she might not have immediately available. The interview consisted of questions that were designed to provide CJJP staff with information regarding the policies and procedures that governed the probationer population at the facility, as well as certain data regarding number of admissions, facility capacity, and other relevant data.

In addition to the interviews, an examination was made of the individual client files of the study population at each facility. Data regarding a number of variables were extracted from the files and entered on data collection sheets that had been developed by CJJP staff. These data items were designed to portray the probationer's activities while participating in the residential facilities program. The data collected included:

- The reason for admission to the facility
- The type of program completion (successful, unsuccessful, or still participating)
- The number and type of disciplinary actions
- Aspects of the client's employment history
- Financial data regarding the client's earnings and disbursements made on the client's behalf
- The client's participation in rehabilitative programs while at the facility
- The results of any client risk assessments conducted while at the facility or immediately prior to entry.

DEVELOPMENT OF DATABASES FOR ANALYSES

After the data had been collected in the field, five databases containing the following information were developed to facilitate further analyses:

- variables describing the probationer's activity prior to and during the admission process, including prior arrests and conviction by type, prior terms of probation served, prior assignments to a residential facility, arrest, conviction and sentencing information concerning the criminal justice system event that resulted in the offender's being sentenced to the residential facility, and the types and scores of the various risk assessment tools administered to the probationer immediately prior to or during the intake process.
- variables describing the number and types of programs that the probationer participated in during his or her stay at the facility, e.g., cognitive thinking, substance abuse evaluation and/or treatment, AA/NA participation, the number and results of the drug screens that the probationer was subjected to while a resident, etc.
- variables describing the probationer's disciplinary history while a resident of the facility, including the number and type of disciplinary actions taken, the specific violations committed by the probationer, the sanctions imposed and data regarding the recommendations for probation revocation, if any, based on the violations committed by the offender.
- variables describing the offender's discharge from the facility including the type of program completion, the amount of facility rent paid, the amount of victim restitution paid, other fees paid, and the type of supervision to which the probationer was transferred, e.g., regular probation, intensive probation, probation revocation to prison, etc.
- variables documenting the probationer's recidivism after discharge from the residential facility, including the number of arrests, up to four, the offense(s) for which the probationer was arrested, including the level of seriousness and the court disposition of the charges.

OTHER DATA SOURCES UTILIZED

In addition to the data obtained from the interviews with the facility directors and the individual probationer's files from each facility, several automated databases were queried to obtain data about the study group's criminal justice system involvement in terms of arrests, convictions, incarcerations, terms of probation served, etc., of the probationer both prior to admission and subsequent to discharge from the residential facility. Those databases were:

- Computerized Criminal History (CCH) records database
- Iowa Community Based Corrections (ICBC) database, and its successor,
- Iowa Corrections Offender Network (ICON) database
- Adult Corrections Information System (ACIS) database
- Iowa Department of Transportation's Driver's License database
- Interstate Identification Index (III) database

The final sources of data utilized in this study were the policy and procedure manuals developed by the DOC for the OWI and Work Release residents, the policy and

procedure manuals developed by the individual CBC's and the policy and procedures manuals developed by the individual residential facilities. Copies of these manuals were obtained from the respective developers and utilized to conduct a "side-by-side" comparison of the policies and procedures contained therein. These comparisons were used as the basis of that section of this report detailing the commonalities and differences among the policies and procedures of DOC, CBC and the individual residential facilities.

INCOMPLETE DATA

In July 2000, DOC replaced the ICBC database with the ICON database as the primary repository for Community Based Corrections offender information. The transition planning appeared to provide for the downloading of certain data from ICBC to ICON prior to the transition date, July 1, 2000. The planning also appeared to include continued entry of offender information into ICBC until the transition date, and after that date, the entry of all offender information into ICON. The transition also shifted the responsibility for the data entry to the field personnel in the various CBC offices. This necessitated the training of most CBC field personnel in the use of ICON on a statewide basis.

It should be noted that there appeared to be some degree of incompleteness in the ICBC and ICON databases for the period of several months immediately prior to, and immediately subsequent to, the transition date. There are indications that in some instances, the ICON training was delayed beyond the transition date. This would have created a backlog in data to be entered. Also, as might be expected with any such transition, a learning curve most likely affected the amount and accuracy of the data entered soon after the transition had taken place. Finally, it also appeared that during the final three months that ICBC was the primary database, there might have been reduced data entry as DOC personnel prepared for the ICON transition.

The ICBC – ICON transition was implemented during a period when many of the study population were still actively participating in the residential facilities program. The possible incompleteness of the ICBC and ICON data may have affected certain of the data reported herein as these databases were utilized to supplement data obtained in the field.

In reviewing the data, it also became apparent that the project goals relating to the types of probation completion would not be achievable. As will be seen in the body of this report, almost nine of every ten residential probationers had been admitted to the facility after being convicted of felony offense. In these cases, the typical term of probation ranged from two to five years. Given that the earliest facility placement occurred in January 2000, with the exception of those residents who had their probation revoked while participating in the program, few probationers had completed their terms of probation by the end of the study's data collection period (February, 2001). The vast majority of the study population, although no longer at a facility, was still under probation supervisions as of Feb. 2001. Consequently, it was not possible to conduct any meaningful analyses involving the types of probation completion and other variables.

RESIDENTIAL FACILITIES ORGANIZATION AND ADMINISTRATION

While the individual residential facilities are located and operated within all judicial districts, the policies and procedures that govern the operations at each of the individual facilities are actually developed at three different administrative levels. The first level is that of the DOC, which is required by the Iowa Code to, "... provide assistance and support to the respective judicial districts to aid them in complying with this chapter, and shall promulgate rules pursuant to chapter 17A establishing guidelines in accordance with and in furtherance of the purposes of this chapter. The guidelines shall include, but need not be limited to, requirements that each district department: ... 1. Provide ... probation services, ... and residential treatment services throughout the district, as necessary."¹¹ The second level is that of the individual CBC, which promulgates policies and procedures for, and provides assistance to, the individual residential facilities within the judicial district. The third level is that of the individual facility, which is responsible for the implementation of the policies and procedures formulated by both DOC and the CBC, as well as formulating policies and procedures that deal with local issues within the facility and the surrounding community.

THE ROLE OF THE DEPARTMENT OF CORRECTIONS

It appears that DOC has fulfilled its statutory responsibility for promulgating rules governing the operation of the residential facilities in a number of ways. First, DOC has established within Section 201, Chapter 43 of the Iowa Administrative Code (IAC) two general requirements governing the operations of all residential facilities, those being that no client is admitted except upon the order of the court or pursuant to a contract with DOC, and that at intake, facility staff will discuss certain issues with the client, such as program goals, services available, disciplinary procedures, client fiscal management, etc., and document the discussion. The chapter then sets forth 18 specific requirements for the individual CBC's to formulate written policies and procedures covering subjects such as resident medical care, search of residents and the seizure of contraband, resident access to meals, etc.¹²

Second, by virtue of their responsibility for OWI Program and Work Release residents, who are technically institutional inmates under the control of the DOC even when residing in a residential facility, DOC has established extensive policies and procedures that must be followed by the resident and the facilities serving those offenders in the OWI and Work Release programs.

Finally, the DOC has established an accreditation program wherein each residential facility is inspected periodically to determine compliance with the DOC policies and procedures.

THE ROLE OF THE JUDICIAL DISTRICT DEPARTMENTS OF CORRECTIONAL SERVICES

A comparison of those residential facility policies and procedures promulgated by DOC for residents under its control and those policies and procedures promulgated by the individual CBC's governing non-DOC residents appears to indicate a high degree of similarity between both sets of policies and procedures dealing with the same subject matter. Further, a comparison of the policies and procedures of all of the CBC's also reveals a high degree of similarity among those policies and procedures dealing with the same subject matter. While there is some limited variation, it might be concluded that all of the residential facilities operate under essentially the same state and district level policies and procedures that deal with what might be considered major issues.

THE ROLE OF THE INDIVIDUAL RESIDENTIAL FACILITIES

Each of the individual residential facilities develops certain policies and procedures that deal with what might be termed local issues or those matters that apply only in the specific facility that is developing the policies. Examples of such issues are setting specific days and hours for visitation with the residents, establishing those locations within the facility where visitation will be permitted, establishing evacuation procedures for the facility, etc. During the course of this study, a variety of local policies and procedures for each facility were examined. These policies and procedures will be commented upon in those sections of this report that describe the individual facilities in detail.

It must also be noted that the local policies and procedures are not limited to what might be termed minor issues. Policies and procedures covering a number of highly important functions are formulated at the local level. One example would be the development of treatment resources with the local community, and the development of the local policies and procedures necessary for the residents to participate in appropriate treatment programs. Descriptions of local treatment programs and other significant local policies and procedures will be detailed later in this report.

POLICIES AND PROCEDURES GOVERNING RESIDENTIAL FACILITIES

As was previously indicated, there are many policies and procedures that govern the operations of the residential facilities. It appears that many of them emanated from DOC to govern the behavior and handling of the OWI and Work Release residents who are technically under DOC control even when residing in a facility. It also appears that a number of these DOC policies and procedures were adopted by the individual CBC's to apply to all residents within the residential facilities.

To gain a better understanding of the manner in which all of the residential facilities operate, it may be helpful to briefly examine the major policies and procedures apparently utilized by all of the CBC's, and consequently all of the residential facilities. A summary of those policies and procedures follows:

POLICIES AND PROCEDURES GOVERNING RESIDENTIAL FACILITIES

- Certain documentary records are to be maintained on all residents, e.g., a copy of the sentencing order, information obtained about the resident at intake, offender assessments, major disciplinary reports, a case plan for the rehabilitation of the offender, etc.
- All residents and visitors entering the facility are subject to being searched and having all contraband items seized at any time while on facility property.
- Resident visitation is limited to certain days, hours and locations within the facility for security and management reasons.
- All monies received by a resident must be surrendered to the facility staff. All resident funds will be placed in an account maintained by the facility for the individual resident. The facility staff must approve all expenditures of resident funds. The resident is expected to make payments for the cost of housing within the facility, victim restitution, court ordered child support, outstanding judgments, the cost of certain rehabilitative evaluations and programs while a resident of the facility and other legal obligations.¹³
- All residents will be subject to some form of testing for the use of illegal or prohibited substances.
- All residents are expected to be engaged in gainful employment or participating in an educational program while at the facility.
- With certain limitations, all residents are allowed to participate in religious services.
- Residents have the ability to earn furlough time, that being any temporary release from the facility for purposes of work, treatment or other approved reasons.
- Almost all residents participate in a "level system". This is a system wherein the more the resident accomplishes in terms of securing work, completing recommended treatment programs, completing educational and/or rehabilitative programs, complying with the facility rules, etc., the more privileges the resident earns.
- All residents are guaranteed access to health care services commensurate with the needs of the resident.
- All resident medications are strictly controlled and secured.
- Periodic "head counts" of facility residents will be conducted to assure that all residents are present or otherwise accounted for.
- The formulation of a list of prohibited actions for the residents, the violation of which is considered a major rule violation.
- All residents are subject to a progressive disciplinary process, which employs rule violations with different levels of seriousness, and sanctions for rule violations with varying levels of severity. The process also includes procedures for a hearing to determine if in fact the resident acted contrary to the facility rules in the case of serious rule violations.
- All residents are afforded the opportunity to appeal for review any adverse actions taken against the resident through the disciplinary process.
- The formulation of specific procedures that are to be implemented when seeking the revocation of probation, including safeguards to protect the due process rights of the resident.
- The development of criteria and policies governing the resident's attendance of funerals and bedside visits of relatives who are critically ill or who have become deceased, including the definition of relative as applies to these policies.

FACILITY DESCRIPTIONS BY JUDICIAL DISTRICT

FIRST JUDICIAL DISTRICT

The first judicial district is located in northeast Iowa, and encompasses 11 counties. The district is primarily rural in nature, with the exception of two urban areas, Waterloo and Dubuque. Within the judicial district, there are four residential facilities that serve the district's probationer population. Two facilities are located in Waterloo, and one each in Dubuque and West Union. It should be noted that in Waterloo, one of the facilities is designated a residential facility and the other is designated a work release facility. It appears that probationers are admitted to the work release facility primarily to participate in special resident programs that are not available in the residential facility, those being the Sex Offender Program and Chronic Substance Abuse Program. While probationers may reside in the work release facility, they participate in, and are subject to the requirements of, the residential facility programs and regulations except for participation in the special programs.

RESIDENTIAL TREATMENT FACILITY – DUBUQUE, IOWA

The residential facility located in Dubuque is a one-story building that opened in 1984 after being newly constructed. It is located within the northeastern section of the city, and the area surrounding the facility is primarily industrial in nature. It should be noted that at the time of the on-site visitation by CJJP, the facility was undergoing an expansion with additional space being newly constructed.

When the facility opened, the designated capacity was 30 male and 6 female residents. As of July 2000, the designated capacity had increased to 37 male and 8 female residents. The new addition is increasing the designated capacity by an additional 36 beds. The facility has been operating over the designated capacity for approximately 7 years, and at the time of the on-site visit was 7 male and 2 female residents over capacity. An additional 40 probationers were awaiting admission.

RESIDENTIAL TREATMENT FACILITY – WATERLOO, IOWA

The residential facility located in Waterloo is a multi-story building that was opened in 1981 after being newly constructed. It is located within the downtown area of the city, and the area surrounding the facility is primarily commercial and industrial in nature. This facility serves primarily probationers.

When the facility opened, the designated capacity was 41 male and 15 female residents. As of July 2000, the designated capacity had increased to 50 male and 24 female residents. The facility has been operating over the designated capacity for approximately 9 years, and at the time of the on-site visit was over designated capacity by 6 male and 1 female residents. At the time of the on-site visit, there were 67 probationers awaiting admission to the facility.

WORK RELEASE FACILITY – WATERLOO, IOWA

Also located in Waterloo is the First Judicial District's Work Release Facility. A facility housing the Work Release/OWI programs first opened in 1971 in downtown Waterloo. In 1991, a new facility was opened after being newly constructed adjacent to the then existing residential facility. In many respects, the residential facility and work release facility operate as one entity, sharing one Residential Manager and other staff between the two facilities. Further, each facility provides certain services to all residents of both facilities. For example, the residential facility provides all food services for the residents of both facilities, while the work release facility provides community treatment coordination and job development for the residents of both facilities.

When the facility opened, the designated capacity was 64 male residents. As of July 2000, the designated capacity had increased to 76 male residents. The facility has been operating over the designated capacity for approximately 9 years, and at the time of the survey was over designated capacity by 5 male residents.

Of the approximately 80 beds currently available at this facility, 10 were being utilized by probationers. An additional 8 probationers were awaiting admission to the facility. Probationers are admitted to this facility primarily to participate in one of two special programs that are not available in the residential facility but are conducted by this facility. Those programs are the Sex Offender Program and the Chronic Substance Abuse Program. There is normally a waiting list of probationers for admission to these programs and this facility.

RESIDENTIAL FACILITY – WEST UNION, IOWA

The residential facility located in West Union is a single story facility, having been opened in 1992 after being newly constructed. It is located in the southeast section of the city, and the area surrounding the facility might be termed residential in nature.

When the facility opened, the designated capacity was 32 male residents. As of June 2000, the designated capacity had increased to 40 male residents and 8 female residents. The facility has been operating over the designated capacity by two to four beds almost from the time that it was opened. There is no set number of beds designated for probationers, and at the time of the on-site visit, 13 probationers were awaiting admission.

SECOND JUDICIAL DISTRICT

The second judicial district is located in north central Iowa and encompasses 22 counties. While there are a number of urban areas within the district, such as Ames, Fort Dodge, Marshalltown and Mason City, the district is primarily rural in nature. Within this judicial district, there are four residential facilities that serve the needs of probationers. These facilities are located in Ames, Fort Dodge, Marshalltown and Mason City.

CURT FORBES RESIDENTIAL FACILITY – AMES, IOWA

The Ames residential facility is a multi-level structure that began serving probationers in 1989, after being newly constructed. The facility is located in the central area of town, and the area surrounding the facility is what could be deemed a mixture of commercial and industrial structures.

When the facility opened, the designated capacity was 36 male residents. As of May 2000, the designated capacity had been increased to 45 residents. There were 41 male residents and 4 female residents at the time of the on-site visit. The facility has been operating at or over the designated capacity for a minimum of three years. No set number of beds is designated for probationers, and there were 9 probationers awaiting admission to the facility at the time of the on-site visit.

COMMUNITY RESIDENTIAL FACILITY – FORT DODGE, IOWA

The Fort Dodge residential facility is located on the third floor of an older building located in the downtown area, which is primarily commercial. The facility was established in 1978, and began serving probationers upon being opened. Access to the facility is by means of a single elevator within the building. Should the elevator become inoperative, ingress and egress is by means of two fire escapes located on the outside of the building.

When this facility began serving probationers, the designated capacity was 20 male residents. The current designated capacity is 35 male residents. This facility does not serve female clients. Of the 35 beds, approximately 11 were designated for probationers. That allocation was subject to change based upon the caseload. At the time of the on-site visit, the facility was serving 33 residents, 16 of which were probationers, and had one probationer awaiting admission.

RESIDENTIAL FACILITY – MARSHALLTOWN, IOWA

The Marshalltown residential facility was established in 1978, and began serving probationers immediately upon opening. In 1995, the program was moved to a newly constructed single level structure located within the southeast section of Marshalltown. The area surrounding the facility is largely undeveloped.

When the new facility began serving probationers immediately upon opening in 1995, the designated capacity was 30 male and 10 female residents. That designated capacity has since been increased to 41 male and 10 female residents. No set number of beds is designated for probationers. At the time of the visitation, the facility was operating over designated capacity by two male residents, and had been operating over the designated capacity for approximately six months. Four probationers were awaiting admission to the facility.

BEJE CLARK RESIDENTIAL FACILITY – MASON CITY, IOWA

The Mason City residential facility began serving probationers in 1992, immediately after the facility opened in a newly constructed, single level building. The facility is located in a primarily industrial area in the southwest section of Mason City.

Upon opening, the designated capacity of the facility was 32 male and 8 female residents. The current designated capacity is 42 male residents and 9 female residents. There is no fixed number of beds reserved for probationers, however probationers normally utilize approximately 50% of the facility capacity. There is usually a waiting list for admission to the facility, and when visited, seven probationers were awaiting admission. The facility reportedly had been operating one to three beds over capacity for approximately one year.

THIRD JUDICIAL DISTRICT

The Third Judicial District is located in northwestern Iowa, and encompasses 16 counties that are primarily rural in nature, with the exception of the Sioux City area. Within this judicial district, there are two residential facilities that serve the needs of probationers, with one being located in Sheldon and the other in Sioux City.

RESIDENTIAL FACILITY – SHELDON, IOWA

The single level residential facility in Sheldon opened in 1992 after being newly constructed. It is located in the western section of the city in an area that could be considered marginally commercial.

The initial designated capacity for this facility was 12 male and 12 female residents. This designated capacity has been modified to 30 male residents. Female residents are no longer served at this facility, but are served at the judicial district's other residential facility located in Sioux City. The facility was operating at the designated capacity as of July 2000, with no prescribed number of beds being reserved for probationers. There were 14 probationers awaiting admission to the facility at the time of the visit.

RESIDENTIAL TREATMENT FACILITY – SIOUX CITY, IOWA

The residential facility in Sioux City began serving probationers in 1992, and occupies a portion of a multi-story building located in the downtown area. The surrounding area could be classified primarily as a mixture of commercial and industrial structures.

The initial designated capacity for the facility was 48 male and 2 female residents. It has been expanded to its present level of 49 male and 8 female residents. The facility is currently operating in excess of designated capacity by 7 male residents, and has been operating over capacity since 1995. There is normally a waiting list for probationers to enter the facility. In July 2000, there were 38 probationers awaiting entry to the facility, which equated to approximately a six-month wait.

FOURTH JUDICIAL DISTRICT

The Fourth Judicial District is located in extreme southwestern Iowa, and is comprised of 9 counties. With the exception of the Council Bluffs area, the counties are primarily rural in nature. Within this judicial district, there is only one residential facility serving probationers, that being located in Council Bluffs, Iowa.

RESIDENTIAL CORRECTIONAL FACILITY – COUNCIL BLUFFS, IOWA

The current Council Bluffs residential facility was newly constructed in 1984 –1985, and began serving probationers upon opening. It is a single level structure that has a separate wing for program administration. The facility is located in an older section of Council Bluffs, where the surrounding area could be described as a mixture of residential and commercial structures.

The initial designated capacity of the facility was 45 male beds and 5 female beds. The current designated capacity is 61 male beds and 10 female beds. As of July 2000, the facility was operating at or under the designated capacity. There is normally a waiting list for admission to the facility, sometimes quite lengthy. As of July 2000, there were 26 probationers awaiting admission to the facility.

FIFTH JUDICIAL DISTRICT

The Fifth Judicial District is located in the south-central area of Iowa, and is comprised of 16 counties. The state capital and largest city in Iowa, Des Moines, is located in this judicial district. The Des Moines metropolitan area, which actually encompasses portions of three counties, is urban in nature. The remainder of this judicial district is primarily rural. There are two residential facilities serving probationers within the district, both being located in Des Moines. One facility serves only male residents while the other serves only female residents.

FORT DES MOINES RESIDENTIAL CORRECTIONAL FACILITY, DES MOINES, IOWA

The Fifth Judicial District has three separate residential facilities located in the southwestern area of Des Moines on the grounds of a former army post, Fort Des Moines. However, only one of these facilities serves probationers. The remaining two facilities serve the needs of OWI and Work Release populations respectively. The area surrounding the expansive grounds of the former army post is a mixture of residential and commercial structures.

The residential facility program for probationers was first established in 1971. The current single level facility was opened in 1999, after being newly constructed, and has a designated capacity of 80 male beds. Unlike other facilities, all beds are reserved solely for probationers. As of July 2000, the facility was operating at or under its designated capacity; however, there were an unspecified number of probationers awaiting admission at that time.

WOMEN'S RESIDENTIAL CORRECTIONAL FACILITY, DES MOINES, IOWA

This single level facility is located within the west north central section of the City of Des Moines in an area that is a mixture of commercial and residential structures and an undeveloped area. This facility is unique among other residential facilities serving probationers in at least three ways.

First, when the facility was opened in 1993 after being newly constructed, the fifth judicial district contracted with a private sector company, DTH Contract Services, Inc., to operate the facility. It is the only residential facility serving probationers in the state operated by a private sector entity and staffed by non-DOC/CBC personnel. The company does, however, operate the facility under rules promulgated by DOC/CBC, and DOC/CBC does maintain oversight responsibility for all facility operations.

Second, this facility is the only residential facility serving probationers within the state that serves exclusively female residents. Third, it is the only facility where children are allowed to reside with their mothers. Up to two children, aged one to five, are permitted to reside with each mother. A maximum of 12 children are allowed to reside at the facility at any one time. No other residential facility serving probationers permits children to reside at the facility with a parent.

The facility has a designated capacity of 48 female residents, and as of July 2000, was operating at or under that capacity. While there is no specific number of beds designated for probationer residents, there is normally a waiting list for probationer admission. As of July 2000, 27 probationers were awaiting admission.

SIXTH JUDICIAL DISTRICT

The Sixth Judicial District is comprised of six counties in east central Iowa. At least two of these counties would be considered to have urban characteristics in that the city of Cedar Rapids is located in one county, and the city of Iowa City, the location of the University of Iowa, is located in another. Within the district, there are three residential facilities serving probationers. Two of these facilities are located within a Department of Corrections/Community Based Corrections complex in Cedar Rapids, with the other being located in Coralville, a suburb of Iowa City.

GERALD HINZMAN CENTER RESIDENTIAL FACILITY, CEDAR RAPIDS, IOWA

Probationers began participating in the residential facilities program in 1977. In 1982, the program moved to a location in southeast Cedar Rapids, and in 1996, the present facility opened after being newly constructed as a residential facility. It is a single level facility located in a correctional complex in the southwest section of Cedar Rapids, and is attached to the Nelson Center (see below). The surrounding area could be classified as commercial and industrial in nature.

The design of the facility allows some flexibility in configuration, and thus on the limitations in the number of male and female beds. When the facility opened, the designated capacity was between 44 and 52 male residents and between 14 and 22 female residents, with a total population capacity of 66. The present designated

capacity is 56 male residents and 26 female residents, a total of 82 residents. Some flexibility in the proportion of male and female residents remains. There is no fixed capacity within the facility allocated to probationers.

As of July 2000, the facility was operating at or under its current designated capacity. There is normally a waiting list for admission to the facility, and as of July 2000, that list contained eight probationers, among others.

LARY NELSON CENTER (WORK RELEASE FACILITY), CEDAR RAPIDS, IOWA

The Nelson Center is also located in the correctional complex located in southwestern Cedar Rapids. The single level facility was opened in 1992 after being newly constructed as a Work Release Facility. In 1997, the Nelson Center began accepting as residents, probationers who could not be accommodated at the Hinzman Center.

The original designated capacity of the facility was 52 male and 8 female residents. As of June 2000, the designated capacity for the facility was fixed at 92 male residents. There was no set number of beds allocated for probationers, and the usual number of probationer residents ranged from 2 to 18. While the probationer residents reside at the Nelson Center, they actually participate in the programs for probationers that originate in the Hinzman Center.

HOPE HOUSE (RESIDENTIAL FACILITY), CORALVILLE, IOWA

Hope House was originally established in 1972 as a work release facility. In 1980 – 1981, the facility began accepting probationers as residents. The current single level facility, which is located on the east central section of the City of Coralville, was opened in 1992 after being newly constructed.

When the present facility first opened, its designated capacity was 44 male residents in comparison to a capacity of 24 male residents at the previous facility. The current designated capacity is 55 male residents. This facility does not serve female residents. As of June 2000, the facility was operating at its designated capacity, and serving 13 probationers. There is no set capacity for probationers at this facility, thus the number of probationer residents varies from time to time. At the time of the on-site visit, five probationers were awaiting admission.

SEVENTH JUDICIAL DISTRICT

The Seventh Judicial District is located in far east-central Iowa, and is comprised of five counties. While these counties are primarily rural in nature, a number of larger cities such as Davenport, Muscatine and Clinton are located within this judicial district. The district has only one residential facility serving probationers, that being located in Davenport.

RESIDENTIAL FACILITY – DAVENPORT, IOWA

This multi-level facility is located in the southwestern area of Davenport in an area that is primarily a mixture of commercial and industrial structures. It began serving probationers in 1982 after being newly constructed, and is currently utilized almost exclusively for probationers. On occasion, overflow residents from the separate work release facility located within the judicial district do reside at this facility while participating in the work release program until such time as a bed is available in the work release facility.

The initial designated capacity for the facility was set at 30 male and 6 female residents. This was increased to 36 exclusively male beds, and due to design flexibility, a total of 20 beds that can be utilized for a combination of male and female residents. As of July 2000, the facility, which has been operating over designated capacity for approximately three years, was over the designated capacity by 6 male residents. There were also 15 probationers awaiting admission to the facility.

EIGHTH JUDICIAL DISTRICT

The Eighth Judicial District is located in extreme southeastern Iowa, and is comprised of 14 primarily rural counties. However, some larger population centers such as Burlington, Fort Madison, Ottumwa and Keokuk are also located within the judicial district. This judicial district has two residential facilities that serve primarily a probationer population. One facility is located in the eastern portion of the district in Burlington, and the other is located in the western portion of the district in Ottumwa.

RESIDENTIAL FACILITY – BURLINGTON, IOWA

This single level facility is located in the east-central area of Burlington, and was newly constructed in 1983-1984. The area surrounding the facility is a mixture of commercial and residential structures. It began serving the needs of probationers upon opening.

The initial designated capacity was 24 male residents. In 1991, additional floor space was added to the facility, which served to increase the designated capacity to 60 male residents. No female residents are served at this facility. As of July 2000, the facility was operating at a level of 6 residents over designated capacity, one of which was a probationer. There is no set number or percentage of probationers that reside at this facility, thus the number of such residents varies from time to time. The normal number

of probationer residents is approximately 25. A waiting list of probationers to enter the facility is also the norm, with 7 individuals being on that list as of the date of on-site visit.

RESIDENTIAL CORRECTIONAL FACILITY – OTTUMWA, IOWA

This facility is located within the far north area of the Ottumwa corporate city limits. It is a single level facility that was opened in 1991 after being newly constructed. The geographical area surrounding the facility could be considered a mixture of industrial and undeveloped land. The facility began serving probationers immediately upon opening.

The initial designated capacity of this facility was 32 male and 10 female residents. This capacity now stands at 48 male and 12 female residents. Of this capacity, space is allocated for 19 male and 9 female probationers. This allocation does not change. As of July 2000, the facility was operating 12 male residents over designated capacity, with probationers residing at the indicated capacity level. The facility has been operating over capacity for approximately three years. There is normally a list of probationers awaiting admission to the facility.

PROGRAM COMMONALITIES AND DIFFERENCES

As was previously indicated, there is a great deal of commonality among the individual judicial districts as well as the facilities within a judicial district in policies and procedures. Conversely, there are also some differences that could be considered noteworthy. In the section that follows, a presentation of a number of these similarities and differences will be made. It should be noted that no attempt will be made to delineate a variety of observed differences at the facility level that are thought to be primarily a function of the facility design, such as where to assemble in the case of a facility evacuation, the specific room or rooms within a facility where visitation is permitted, the specific areas in and/or surrounding the facility within which smoking is allowed, etc.

CHARACTERISTICS OF THE STUDY POPULATION

Table 1 and Table 2 portray the gender, ethnicity and age range of the study population at admission, by the judicial district in which the residential facilities are located. The data indicate that the probationer study population is predominately male (84.7%), white (80.0%) and less than 30 years of age (68.7%), with over one-fifth (21.4%) being under 20 years of age.

Table 1: Gender and Race of Study Population by Judicial District

Judicial District	Total	Male	Female	White	African American	Asian	American Indian
1	62	46	16	40	22	0	0
2	91	80	11	85	6	0	0
3	25	21	4	19	6	0	0
4	46	38	8	46	0	0	0
5	122	99	23	94	26	1	1
6	67	61	6	54	12	0	1
7	44	40	4	27	17	0	0
8	29	27	2	24	4	1	0
TOTAL	486	412	74	389	93	2	2

Table 2: Age of Study Population by Judicial District

Judicial District	Number Residents	Under 20	20 - 29	30 - 39	40 - 49	50 - 59	60 & Over
1	62	7	27	14	18	0	0
2	91	19	45	18	8	1	0
3	25	7	13	3	1	1	0
4	46	4	24	10	4	4	0
5	122	26	49	33	12	1	1
6	67	21	30	11	5	0	0
7	44	15	21	5	3	0	0
8	29	5	21	2	0	1	0
TOTAL	486	104	230	96	51	8	1

The tables appear to indicate some differences among the study population between the individual judicial districts. The 4th Judicial District appears to have admitted no members of a racial minority to the facility, while in the 1st Judicial District, over one-third (35.4%) of the probationers admitted were members of a racial minority. It also appears that younger residents (under 30) were more prevalent in the 8th (89.7%), 7th (81.8%) and 3rd (80.0%) Judicial District as compared to the 1st Judicial District where less than half of those admitted (48.4%) was under 30 years of age.

In order to determine the prior criminal justice system involvement of the study population, searches were made in the criminal justice and other databases previously indicated. Prior arrest and conviction data are shown in Tables 3 and 4, and prior probation and residential facility experience are shown in Table 5.

Table 3: Probationer Residents With Prior Arrests by Judicial District

Judicial District	Number Residents	Prior Arrest History	Percent Prior Arrest History	No Prior Arrest History	Percent No Prior Arrest History
1	62	48	77.4%	14	22.6%
2	91	67	73.6%	24	26.4%
3	25	17	68.0%	8	32.0%
4	46	34	73.9%	12	26.1%
5	122	92	75.4%	30	24.6%
6	67	50	74.6%	17	25.4%
7	44	26	59.1%	18	40.9%
8	29	16	55.2%	13	44.8%
TOTAL	486	350	72.0%	136	28.0%

Table 4: Probationer Resident Prior Arrest and Conviction History by Offense Type and Judicial District

Judicial District	Number Residents	Felony Arrests	% of Residents	Felony Convicts	% of Residents	Misdem Arrests	% of Residents	Misdem Convicts	% of Residents
1	62	24	38.7%	19	30.6%	42	67.7%	42	67.7%
2	91	39	42.9%	25	27.5%	62	68.1%	62	68.1%
3	25	10	40.0%	9	36.0%	16	64.0%	16	64.0%
4	46	21	45.7%	9	19.6%	25	54.3%	24	52.2%
5	122	53	43.4%	40	32.8%	81	66.4%	81	66.4%
6	67	33	49.3%	23	34.2%	44	65.7%	43	64.2%
7	44	16	36.4%	10	22.7%	22	50.0%	19	43.2%
8	29	6	20.7%	3	10.3%	15	51.7%	15	51.7%
Total	486	202	41.6%	138	28.4%	307	63.2%	302	62.1%

Table 5: Probationer Resident Prior Probation and Residential Facility Experience by Judicial District

Judicial District	Number Residents	Prior Probation	Percentage Of Residents	Prior Residential Facility	Percentage Of Residents
1	62	35	56.5%	20	32.3%
2	91	41	45.1%	24	26.4%
3	25	8	32.0%	5	20.0%
4	46	14	30.4%	3	6.5%
5	122	48	39.3%	24	19.7%
6	67	26	38.8%	24	35.8%
7	44	5	11.4%	9	20.5%
8	29	11	37.9%	5	17.2%
Total	486	188	38.7%	114	23.5%

Table 6: Average Number of Prior Probation Terms and Days Served on Probation By Judicial District

Judicial District	Number of Residents With Prior Probation	Average Number of Probation Terms Served	Average Number of Days Of Probation Served
1	35	1.89	775
2	41	1.68	709
3	8	1.63	709
4	14	1.64	714
5	48	1.67	866
6	26	1.38	568
7	5	1.20	528
8	11	1.64	676
Total	188	1.65	735

Tables three through six provide data regarding prior criminal justice system participation by the members of the study population.

Table 3 indicates that almost three of every four members of the study population had experienced one or more arrests prior to the arrest that resulted in the current participation in the residential facilities program.

Table 4 indicates that more than one-third of the study population had experienced one or more felony arrests prior to the arrest that resulted in their current stay at the residential facility, and that more than one-quarter of the population had one or more felony convictions prior to the conviction that resulted in their current stay. It can also be observed that more than six of every 10 members of the study population had one or more misdemeanor arrests and convictions prior to entering the facility during the period under review. It should be noted that those individuals having both felony and misdemeanor arrests and convictions were counted as having both, thus were “double counted”. It should also be noted that the term arrest in this context means actually being taken into custody, and does not include being issued a citation in lieu of arrest, which is legally and technically an arrest.

Table 5 indicates that 38.7% of the study population had served one or more terms of probation prior to the arrest that resulted in their current program participation. The data also indicate that approximately one-quarter of the study population, 23.5%, had participated in the residential facilities program on one or more occasions prior to their current stay at the facility.

Table 6 indicates that the members of the study population who had served prior terms of probation served an average of almost two prior probation terms, each averaging approximately one and one-quarter years in length.

In addition to providing data regarding the study population's prior experience with the criminal justice system, the tables also appear to indicate certain differences in these experience levels among the residential facility residents of the individual judicial districts.

Table 3 indicates that the 7th and 8th Judicial Districts were more likely than the other judicial districts to see probationers in residential facilities who had no arrests prior to the arrest that led to their placement in the facility. This contrasts with the 1st Judicial District where the residents were more likely to have prior arrests than the other districts.

Table 4 indicates that probationer residents in the 6th Judicial District were more likely to have had a felony arrest prior to the arrest that led to placement than similar residents in other districts, and probationer residents in the 3rd Judicial District were more likely to have experienced a felony conviction prior to the conviction that led to placement than such residents in other districts. Probationer residents in the 2nd Judicial District were more likely to have a misdemeanor arrest and a misdemeanor conviction prior to the arrest and conviction that led to placement than such residents in other districts. The probationer residents in the 7th and 8th Judicial Districts had relatively low levels of both felony and misdemeanor arrests and convictions prior to the arrest and conviction that resulted in placement in the residential facility, but it would appear that this is a result of more first time arrestees being placed in a facility in these districts.

The data portrayed in Table 5 indicate that more than one-half (56.5%) of the probationer residents in the 1st Judicial District had served a term of probation prior to the conviction that resulted in residential facility placement, more than residents in the other districts. In comparison, the lowest percentage of residents having served terms of probation prior to the conviction resulting in facility admission was the 7th Judicial District. However, it should be remembered that this district had one of the highest percentages of residents who were placed in the facility as a result of their first arrest.

This table also indicates that probationer residents in the 6th Judicial District were more likely to have experienced residential facility placement prior to the placement examined in that more than one-third of the residents had prior placements. This was in contrast to the 4th Judicial District where the residents were least likely to have experienced a prior placement in that only approximately 6% had experienced prior placements.

Table 6 indicates that in addition to more residents having served a prior term of probation, probationer residents in the 1st Judicial District had served an average of 1.89 terms of probation prior to the conviction that resulted in facility placement, again more than the residents in the other districts. The average number of days of probation served prior to the conviction that led to placement, 775, was the second highest of all judicial districts. Again, the 7th and 8th Judicial Districts ranked relatively low in terms of the average number of terms of probation and days of probation served prior to the

conviction that resulted in facility placement, however, it should be recalled that these districts placed higher levels of first time offenders in the facilities when compared to other districts.

REASONS FOR ENTRY INTO THE RESIDENTIAL FACILITIES PROGRAM

As would be applicable to probationers, the Iowa Administrative Code (IAC) provides that residential facilities "... shall admit residents only on an order of the court ...".¹⁴ A review of the case files indicated that this provision of the law appeared to have been complied with in large measure. Further, there were two primary reasons why such a court order was issued. In some cases, it appeared that the court, either utilizing its judicial discretion or acting upon the recommendation of a pre-sentence investigation, would initially sentence the offender to reside at a residential facility. In other cases, it appeared that the offender's probation officer would recommend to the court that an offender be placed in a residential facility as a sanction for behavior while under some other form of probation supervision, and that the court would follow that recommendation. This pattern was observed most often when the offender had been serving a period of probation, and during that period had committed one or more violations of the terms of the probation. In a few cases, it appeared that the offender had volunteered to be placed in a residential facility, and in one case, it appeared that the offender had been directed by CBC to reside at the facility pursuant to a court order allowing CBC to determine the most beneficial rehabilitative measures, and to implement those measures without further action by the court.

The residential facility sanction appeared to be imposed by the court in three different manners. In some instances, the court set a finite period of residency, e.g., 180 days. In other instances, the period of residency was indeterminate, normally until the resident had received maximum benefits from the program. In some instances, a combination of the two sentencing methodologies was utilized by the court, e.g., one year, or until maximum benefits received. Table 7 indicates the apparent types of sentencing criteria utilized by the courts in each of the judicial districts.

Table 7: Sentencing Reason by Judicial District

Judicial District	Court Direct	% Court Direct	Probation Sanction	% Probation Sanction	Voluntary Admission	% Voluntary Admission
1	37	59.7%	25	40.3%	0	0%
2	48	52.7%	43	47.3%	0	0%
3	18	72.0%	7	38.9%	0	0%
4	41	89.1%	5	10.9%	0	0%
5	68	55.7%	52	42.6%	2	1.6%
6	44	65.7%	21	31.3%	2	3.0%
7	33	75.0%	11	25.0%	0	0%
8	18	62.1%	11	37.9%	0	0%
TOTAL	307	63.2%	175	37.4%	4	0.8%

ADMISSION ARRESTS, NUMBER AND SERIOUSNESS

Analyses were conducted of the offenses that led to the current participation of the probationers in the residential facilities program. Two variables were examined. The first was the number of arrest incidents for which the court sentenced the probationer. The second was the level of seriousness of the most serious offense for which the probationer was convicted of in an arrest incident, and in the case of multiple arrest incidents, the level of the most serious offense of which the probationer was convicted of for all arrest incidents. The results of the analyses are shown in Tables 8 and 9. It appears that almost four of every ten members of the study population were admitted to the facility as the result of multiple arrest incidents. It also appears that almost three of every four members of the study population were admitted to the facility after being convicted of felony level charges.

Table 8: Number of Admission Arrest Incidents by Judicial District

Judicial District	No. Residents Admitted	Admitted for Single Arrest	% Admitted Single Arrest	Admitted for Multiple Arrests	% Admitted Multiple Arrests
1	62	32	51.6%	30	48.4%
2	91	53	58.2%	38	41.8%
3	25	17	68.0%	8	32.0%
4	46	32	69.6%	14	30.4%
5	122	65	53.3%	57	46.7%
6	67	45	67.2%	22	32.8%
7	44	28	63.6%	16	36.4%
8	29	20	69.0%	9	31.0%
TOTAL	486	292	60.1%	194	39.9%

Table 9: Level of Seriousness of Admission Offense by Judicial District

Jud. Dist.	No. Resid	No. FELB	% FELB	No. FELC	% FELC	No. FELD	% FELD	No. AGMS	% AGMS	No. SRMS	% SRMS
1	62	2	3.2%	9	14.5%	30	48.4%	20	32.3%	1	1.6%
2	91	0	0.0%	14	15.4%	51	56.0%	21	23.1%	5	5.5%
3	25	1	4.0%	5	20.0%	14	56.0%	5	20.0%	0	0.0%
4	46	0	0.0%	9	19.6%	25	54.3%	9	19.6%	3	6.5%
5	122	1	0.8%	24	19.7%	48	39.3%	39	32.0%	10	8.2%
6	67	0	0.0%	10	14.9%	51	76.1%	5	7.5%	1	1.5%
7	44	0	0.0%	10	22.7%	29	65.9%	4	9.1%	1	2.3%
8	29	0	0.0%	10	34.5%	16	55.1%	2	6.9%	1	3.4%
TOTAL	486	4	0.8%	91	18.7%	264	54.3%	105	21.6%	22	4.5%

NOTES: FELB = Class B Felony, FELC = Class C Felony, FELD = Class D Felony, AGMS = Aggravated Misdemeanor, SRMS = Serious Misdemeanor. Percentages may not equal 100% due to rounding.

It may be of some interest to note that while the 7th and 8th districts had the highest percent of admissions with no prior arrests (Table 3), these two districts, along with the 6th, also had a smaller percentage of their residents admitted as the result of a misdemeanor offense (Table 9).

LEVEL SYSTEM

As a rule, each probationer residing in one of the CBC's residential facilities participates in what might be deemed a level system. While the levels may have different names in different facilities, e.g., Level 1, Orientation Level, Phase 1, etc., the concept appears to be the same throughout most of the residential facility system. When a probationer enters a facility, he/she has certain goals to meet and a highly limited number of privileges to exercise. The goals normally include obtaining full-time employment, participating in required evaluations and treatment or educational programs and abiding by all facility rules. As these goals are achieved, the resident advances to a higher participation level, at which there are additional goals to achieve and additional privileges for the resident to exercise, such as additional furlough time. Except in the fourth judicial district, there are typically from three to six participation levels, and the probationer must normally successfully complete all program levels prior to achieving a successful program completion and being discharged from the facility.

In the fourth judicial district, the needs of the residents are met through what is termed "Day Programming". All residents have approximately equal requirements in terms of employment, education, etc., and receive approximately the same level of privileges after the first week of program participation. These privileges can be reduced or lost through violation of facility rules, just as in the other judicial districts and facilities.

DISCIPLINARY PROCESS

All probationers are expected to adhere to a set of rules governing most aspects of their conduct while residing at a facility. All of the facility rules reviewed appeared to be based on a set of 30 rules promulgated by DOC for governance of the OWI/Work Release residents. However, in most judicial districts, this list had been reduced somewhat through a combination of several rules that could be considered to be similar in nature.

Violation of one or more rules would tend to invoke the disciplinary process, which appeared to be relatively uniform throughout all of the residential facilities examined. In general, violations of facility rules were classified as either minor or major in seriousness. However, it should be noted that in the 2nd, 3rd and 5th Judicial Districts, an additional classification of "medium" was employed to describe the seriousness of certain offenses. It should also be noted that in some instances, the violation of certain rules was viewed and classified in different manners, depending upon the specific circumstances of the violation. For example, a rule violation of "Out of Place of Assignment" wherein the resident was ten minutes late in returning to the facility would tend to be viewed as a minor violation. Conversely, if the resident was six hours late in returning to the facility, the incident tended to be viewed as a more serious violation.

In the case of minor level violations, the resident was informed of the violation that he/she had committed, and one or more sanctions were immediately imposed without a formal hearing. Sanctions imposed for minor violations were limited in severity to a maximum of two days of room restriction and/or two days of extra duties. It was noted, however, that a variety of low severity sanctions were imposed to sanction residents for minor violations. These sanctions included, but were not limited to, verbal warnings, written warnings, writing an apology, writing an essay, hand copying the facility rule book, loss of recreational time, loss of furlough time, early curfew, loss of privileges such

as telephone usage or smoking, and the cleaning of certain areas of the facility or grooming the facility grounds.

The alleged commission of a medium or major rule violation by a resident invoked a more formal disciplinary process. First, the resident was served with a written notice of the alleged violation. Subsequent to service, a facility staff member who was not a witness to the incident or the reporting staff person conducted a formal investigation of the incident. A formal hearing was also scheduled, normally within a period of two to seven days, but not less than 24 hours after service of the written notice upon the resident. Two facility staff members who were not involved in the alleged rule violation served as a fact-finding tribunal for the hearing, with evidence being presented to them by the investigator. The resident had the right to attend the hearing and present evidence on his/her behalf. The staff members reached a decision as to whether or not the resident was guilty of the rule violation(s) alleged based upon the evidence presented. If the resident was found to be guilty of the rule violation(s), one or more sanctions thought to be commensurate with the offense were imposed. If the resident disagreed with the findings of the staff, a multi-level appeal process was available to the resident for review of the findings by administrative level facility and CBC staff.

Sanctions imposed in cases of medium and major rule violations were usually more severe in nature than those imposed for minor rule violations. Examples include room restrictions, facility restrictions and extra work details in excess of 48 hours duration, reduction in program grade level, loss of various privileges for extended periods of time, loss of furlough time, and in some instances, county jail time and/or recommendation to the court that the resident's probation be revoked and he or she be incarcerated for the term of his or her sentence.

DISCIPLINARY ACTIONS

Tables 10 and 11 indicate the total number of disciplinary actions initiated against the study population by both judicial district and by facility. There appeared to be some variation in the number of disciplinary actions initiated among the individual judicial districts. Such actions ranged from an average of 1.09 per resident in the 4th Judicial District to 5.0 per resident in the 3rd Judicial District. At the facility level, the number ranged from 1.09 per resident at the Council Bluffs facility to 5.94 per resident at the Sioux City facility. The average number of disciplinary actions initiated was slightly less than 3 per probationer for the entire study population.

Table 10: Number of Disciplinary Actions Initiated By Judicial District

Jud	No.																														Total	Avg Per
Dist	Res	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	Disciplines	Resident							
1	62	23	14	8	4	3	2	3	2	0	0	0	1	1	0	0	0	0	0	0	0	1	0		139	2.24						
2	91	26	18	15	6	9	3	4	4	1	2	1	1	0	0	0	1	0	0	0	0	0	0		231	2.54						
3	25	2	3	3	1	4	4	1	1	2	0	0	1	2	1	0	0	0	0	0	0	0	0		125	5.00						
4	46	21	15	3	3	2	0	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0		50	1.09						
5	122	32	23	14	11	10	8	5	4	3	5	0	1	3	0	0	2	0	1	0	0	0	0		385	3.16						
6	67	12	13	13	6	6	5	2	2	1	1	0	1	0	0	1	1	1	0	0	0	1	1		246	3.67						
7	44	15	4	12	8	2	1	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0		78	1.77						
8	29	6	8	2	5	2	2	3	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0		77	2.66						
TOTAL	486	137	98	70	44	38	25	21	14	7	8	1	5	6	1	2	4	1	1	0	0	2	1		1331	2.74						

Table 11: Number of Disciplinary Actions Initiated By Facility

Jud		No.																														Avg Per
Dist	Facility	Res	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	Total	Resident						
1	DUBUQUE	9	3	3	0	0	1	0	0	0	0	0	0	1	1	0	0	0	0	0	0	0	0	0	30	3.33						
1	WATERLOO-RF	39	16	8	8	2	1	1	2	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	58	1.49						
1	WATERLOO-WRF	5	1	2	0	0	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	13	2.60						
1	WEST UNION	9	3	1	0	2	1	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	1	0	38	4.22						
2	AMES	21	6	4	4	1	4	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	42	2.00						
2	FORT DODGE	16	5	3	5	0	0	2	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	30	1.88						
2	MARSHALLTOWN	25	4	5	3	1	2	0	3	2	1	2	1	0	0	0	0	1	0	0	0	0	0	0	105	4.20						
2	MASON CTY	29	11	6	3	4	3	0	0	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	54	1.86						
3	SHELDON	9	1	2	2	0	1	1	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	30	3.33						
3	SIOUX CITY	16	1	1	1	1	3	3	1	0	1	0	0	1	2	1	0	0	0	0	0	0	0	0	95	5.94						
4	COUNCIL BLUFFS	46	21	15	3	3	2	0	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	50	1.09						
5	FORT DES MOINES	99	29	20	13	7	7	7	5	2	2	3	0	0	1	0	0	2	0	1	0	0	0	0	276	2.79						
5	DES MOINES WRF	23	3	3	1	4	3	1	0	2	1	2	0	1	2	0	0	0	0	0	0	0	0	0	109	4.74						
6	HINZMAN CENTER	45	9	7	10	5	4	2	2	1	0	1	0	0	0	0	1	1	1	0	0	0	0	1	162	3.60						
6	HOPE HOUSE	5	1	2	0	0	1	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	13	2.60						
6	NELSON CENTER	17	2	4	3	1	1	3	0	0	1	0	0	1	0	0	0	0	0	0	0	0	0	1	71	4.18						
7	DAVENPORT	44	15	4	12	8	2	1	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	78	1.77						
8	BURLINGTON	13	3	5	1	1	0	1	1	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	35	2.69						
8	OTTUMWA	16	3	3	1	4	2	1	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	42	2.63						
TOTAL		486	137	98	70	44	38	25	21	14	7	8	1	5	6	1	2	4	1	1	0	0	2	1	1331	2.74						

Analysis of the probationers' actions underlying these disciplinary actions was problematic. The difficulty was due to the understandable tendency of facility staff to assign multiple rule violations to a given set of actions. For example, in one disciplinary action, the probationer apparently failed to attend a substance abuse treatment session, and was charged with failing to comply with special conditions and being out of place of

assignment. As a result of the incident, it was recommended that the resident's probation be revoked. This would raise the question as to whether the recommendation was based on failing to comply with the special conditions, being out of place of assignment, or a combination of the two. In other cases, up to four different violations were alleged in a single disciplinary report. In the analyses that follow, it should be remembered that while a given offense/behavior was a factor in the decision to seek probation revocation, it might have been only one of the violations alleged in the disciplinary action.

CJJP was able to examine 94 disciplinary actions in which probation revocation was recommended. This sample represented 82.5% of all such disciplinary actions. In the 94 disciplinary actions, a total of 149 rule violations were cited, or an average of 1.6 rule violations per disciplinary action. The most common rule violations found in the sample of cases where probation revocation was recommended were: escape (27.5%), out of place of assignment (19.5%), possession/use of alcohol (8.1%), possession/use/dealing in/of illegal drugs or paraphernalia (7.4%), failure to secure/maintain employment (6.7%), false statements/dishonesty (5.4%), illegal behavior (5.4%), disobey lawful order or directive (4.7%) and verbal abuse/threats/disrespect (4.0%).

The analysis also indicated that the court revoked the residents' probation just over 40% the time when such a recommendation was made.

Additional analyses were conducted with a particular interest in offenders whose violations involved escapes and the use of alcohol and other drugs. Table 12 shows the number and percent of residents who were subject to disciplinary actions during their facility placement. Variations among the districts similar to those seen in Table 11 can be noted.

Table 12: Residents with Disciplinary Actions, By District

District	Number of Residents	Residents with Disciplinary Actions	
		Number	Percent
1	62	39	63%
2	91	65	71%
3	25	23	92%
4	46	25	54%
5	122	90	74%
6	67	55	82%
7	44	29	66%
8	29	23	79%
	486	349	72%

Table 13 describes the extent to which the reasons behind the residents' disciplinary actions involved their use of alcohol or other drugs or escapes or both. For purposes of this table, offenders with multiple violations that include alcohol/drugs and /or escape are counted only in those categories. Some of these residents may also have committed other violations. Residents with one or more violations, none of which were either alcohol/drugs or escape, are counted in the "Other" column.

Table 13: Types of Disciplinary Violations, By District

District	Residents with Violations	Violation Types: numbers and percents						
		Alcohol or Drugs	Escape	Alc/Drug and Escape	Other	Alc/Drug %	Esc %	Alcohol/Drug or Escape
1	39	14	5	4	16	46.2%	23.1%	59.0%
2	65	16	9	2	38	27.7%	16.9%	41.5%
3	23	2	1	1	19	13.0%	8.7%	17.4%
4	25	11	2	1	11	48.0%	12.0%	56.0%
5	90	6	20	7	57	14.4%	30.0%	36.7%
6	55	6	8	6	35	21.8%	25.5%	36.4%
7	29	8	5	2	14	34.5%	24.1%	51.7%
8	23	5	4	1	13	26.1%	21.7%	43.5%
	349	68	54	24	203	26.4%	22.3%	41.8%

As can be seen in Tables 12 - 13 there is variation among the districts in the percent of residents involved with disciplinary violations as well as the extent to which such disciplinary violations involve escapes or alcohol/drug use

Additional analyses were conducted to determine the extent to which alcohol/drug violations or escapes resulted in recommendations to revoke probation.

Table 14: Revocation Recommendations for Alcohol/Drug or Escape Violations, By District

District	Number of Alcohol/Drug and Escape Violators	Revoke Recommend?		
		No	Yes	
		N	N	%
1	23	17	6	26.1%
2	27	15	12	44.4%
3	4	3	1	25.0%
4	14	8	6	42.9%
5	33	22	11	33.3%
6	20	12	8	40.0%
7	15	7	8	53.3%
8	10	6	4	40.0%
Total	146	90	56	38.4%

Table 14 shows variation among the districts in the extent to which they recommended revocation in alcohol/drug or escape incidents, with a range from 25 percent in the third district to 53 percent in the seventh. There was some clustering of scores, with five of the eight districts showing revocation recommendation percentages between 33 and 44 percent, or within about five percentage points of the state average.

Regarding the facilities' responses to violations involving alcohol and other drugs, it can be pointed out that for each of the CBC's, policies to handle the use of alcohol or other drugs by residents may be viewed as zero-tolerance policies in that any resident found to have drugs or alcohol in their possession, or to have used drugs or alcohol during

their stay at the facility might expect to experience county jail time, have the revocation of their probation sought, or both. Further, the refusal or inability to provide a urine sample for analysis within a specified time after being requested typically is to be considered as a positive test for drugs. Sometimes, individuals entering the facilities were found to have used drugs and/or alcohol immediately prior to entry as a result of the intake drug/alcohol screening according to case file information. In almost all of these cases, very minor sanctions, if any, were instituted against the resident. Beyond positive intake screenings, instances were found in all judicial districts where residents tested positive for drugs and/or alcohol. While it appeared that all were considered a major violation, a substantial number of cases were sanctioned at the facility level with a reduction in program level, room restrictions, extra duties, etc., without the resident being incarcerated or the revocation of their probation being sought.

RESIDENT FINANCES

In all of the residential facilities visited, the system for handling the financial affairs of the residents appeared uniform in concept and procedures. One of the rules found in all facilities was that all residents were to surrender all monies received while a facility resident to the facility staff. The source of the funds, wages, gifts from friends and/or relatives, income tax refunds, etc., was irrelevant. The funds were then deposited in the resident's name into the "inmate fund" administered by CBC. A "budget" was calculated for each resident, and from the funds in the resident's account, payments were made on behalf of the resident for the various obligations the resident had incurred. Some of the obligations routinely seen were rent payments to the facility, CBC supervision fees, victim restitution, court fines, court costs, medical and substance abuse treatment fees incurred by the resident, child support and other obligations incurred by the resident prior to admission to the facility. The budget would normally also include a set sum for personal spending by the resident.

In all but the first judicial district, the financial transactions were tracked via a computer program utilized by DOC for tracking similar transactions for inmates of the various state institutions. In the first judicial district, the procedures were the same but a different computer program was utilized to track the transactions. While the information in this system was similar to that obtained in the other judicial districts, the variables in terms of payment categories contained sufficient differences to make total inter-district comparisons difficult. In addition to the lack of complete uniformity in the reporting format described above, CJP's on-site visits found some indications that there may be a lack of uniform reporting procedures in terms of how payments are sometimes classified among the districts. While it appeared that each district was adequately keeping track of offender finances and payments, future efforts to describe categorical payments in the aggregate for all facilities should be done with caution.

RESIDENT TRANSPORTATION

Throughout participation in the program, every resident has the need to travel locally for job seeking, to and from their place of employment, to and from their furlough locations and to other locations for evaluations, treatment, or participation in various educational programs. In some instances, as will be seen later, the residents were required to travel to obtain food.

The residents at each facility utilized a number of forms of transportation approved by the staff. There was a great deal of reliance on walking and, where available, public transportation. With staff permission, the residents could own and utilize a bicycle for transportation. Some residents, usually in the advanced program levels, were authorized by staff to own and operate a motor vehicle as long as certain requirements such as appropriate licensing of the vehicle and driver and proof of insurance were met. (It was noted that at the Burlington facility, residents were not permitted to keep private automobiles at the facility.) Residents were also allowed to ride with individuals who were not residents of the facility such as family members, friends, etc., as long as prior staff approval was obtained. In some instances, such approval was normally granted only after a background check on the individual was conducted, and proof was provided to staff that the driver and vehicle were appropriately licensed and appropriately insured.

At each of the facilities, there were indications that as a last resort or in an emergency, a staff member might transport residents in a facility vehicle for limited reasons. It was noted that at least at the Davenport facility, the resident was charged for such transportation and the cost was paid from the resident's financial account.

RESIDENT NUTRITION

It appears that resident nutrition is a policy area where there are a number of different alternatives employed. These policies vary among the judicial districts, and in some instances, among the different facilities within the judicial district. A summary of the methods of meeting the residents' nutritional needs appears below:

First Judicial District – At all four residential facilities serving probationers, the facility provided prepared meals for the residents. At the Dubuque facility, two hot meals per day were provided, lunch and dinner, and were prepared by a contract cook. Breakfast normally consisted of cereal, milk, juice and coffee. Sack lunches were available to residents who could not eat a meal at the facility because of employment. Nutritional oversight was provided by a local hospital. In Waterloo, the residential facility and work release facility shared a common dining room. Three meals per day were prepared by facility staff and served cafeteria style. There were three settings for each meal, and male and female residents were required to eat at separate times. The primary food vendor provided the menus, nutritional services and special dietary information. The Iowa Department of Public Health provided a review of the nutritional services. At the West Union facility, the staff cook was responsible for meal planning and preparation. Three meals per day were served, with sack lunches available to residents who were employed and not able to eat at the facility.

Second Judicial District – At the residential facilities in both Ames and Fort Dodge, residents were responsible for their own nutritional needs. No meals were provided by

the facility, however kitchen facilities and food storage areas were made available to residents who wished to prepare their own meals or who were being sanctioned by a restriction that did not allow them to leave the facility. For those residents who did not desire to prepare their own food, a “food furlough” was provided in order that the resident could leave the facility, purchase and consume a meal, and return to the facility. In both locations, prepared and non-prepared foods were readily available in close proximity to the facility.

At the residential facilities in Marshalltown and Mason City, meals were provided by the facility. Breakfast was self-service, and consisted of cereal, bread, juice, fruit and milk. Cooks, who were part of the facility staff, prepared two hot meals daily. Sack lunches were available for residents who were unable to eat at the facility due to employment. In both locations, the primary food vendor oversaw the nutritional content of the meals provided. In Marshalltown, arrangements were in place that if the cook was not available, the deli department of a local food store would provide the hot meal(s).

Third Judicial District – Both of the residential facilities in the district, Sheldon and Sioux City, provided meals for the residents in slightly differing manners. In Sheldon, the facility served a continental breakfast and provided sack lunches for all residents. The evening meal was procured through the deli department of a local food store, and served in-house. Once a week, pizza was procured from a local pizza restaurant and served in-house. Menus for the evening meals were retained for review by appropriate authority.

In Sioux City, foodstuffs for breakfast and lunch were procured from a local hospital. Facility staff prepared the meals, and residents served themselves. The evening meal was provided by the hospital, and was delivered ready to serve. The hospital was responsible for nutritional oversight.

It should be noted that in both facilities, residents who had progressed beyond the first or entry “level” were normally eligible to procure and consume any and all of their meals outside of the facility. It should also be noted that it appeared that both of the facilities made separate monetary assessments to the resident’s “bank account” to pay specifically for meals. This was observed only in the third judicial district. It is believed that the residents’ payment for food received from the facility was included in the room rent rate in the other districts.

Fourth Judicial District – At the Council Bluffs facility, meals were provided by the facility and prepared by the staff. Three hot meals per day were served, except that there were two cold breakfasts served per week. Sack lunches were prepared and made available to residents working outside of the facility. The facility cook staff provided nutritional oversight for the meals.

Fifth Judicial District – At the Fort Des Moines residential facility, three meals per day were prepared by facility staff members and served in the common dining room that this facility shares with the Fort Des Moines work release facility. Sack lunches are made available to residents whose employment does not allow them to eat at the facility.

At the Women’s residential facility, meals were contracted for through a nearby hospital. Breakfast items were delivered in bulk and made available to the residents by self-service. Lunch and dinner were delivered to the facility fully prepared and ready to serve. Sack lunches were made available to residents who could not eat at the facility because of employment. The hospital provided professional nutritional oversight of the meals.

Sixth Judicial District – All three of the residential facilities serving probationers in this district used essentially the same method of serving the nutritional needs of the residents. At the Hinzman and Nelson centers in Cedar Rapids, three meals per day were prepared by facility staff in a common kitchen and served cafeteria style to the residents. While the kitchen was shared, each facility had a separate dining room in which the residents ate. Sack lunches were made available to residents who were working during mealtime. Residents assisted in serving the meals and preparing the sack lunches. Facility staff was responsible for nutritional oversight.

At the Hope House facility, a staff cook prepared the meals, which were served cafeteria style to the residents. The Iowa Department of Public Health was responsible for reviewing the menus and overseeing nutrition.

Seventh Judicial District – At the Davenport facility, a staff member prepared two hot meals per day, which were served cafeteria style. Breakfast was self-service, and consisted of cereal, toast, milk, juice, etc. Sack lunches were made available to residents who were at work during meal periods. Facility residents assisted in the preparation and serving of the hot meals.

Eighth Judicial District – Both facilities serving probationers in the district, Burlington and Ottumwa, provided meals for residents in much the same manner. Breakfasts were cold, consisted of cereal, milk, juice, etc., and were self-service for the residents. Lunches and dinners were hot meals that were prepared by cooks of the facility staff, and served cafeteria style to the residents. The nutritional requirements were overseen by the staff, and reviewed by outside medical facilities. Sack lunches were made available to residents working away from the facility during meal periods.

WAITING LISTS

Each of the residential facilities visited indicated that waiting lists for the admission of probationers were a way of life. With few exceptions, all the facilities were operating at or above the designed capacity, thus probationers newly assigned to the facility normally had to wait until such time as space became available for them in the facility.

Individuals awaiting admission usually spent the time waiting in one of two environments -- incarcerated (typically in jail) or "on-the-street". In some instances, the waiting time was divided between the two environments, and in a few cases, all or a portion of the waiting time was spent in another environment, such as inpatient substance abuse treatment or mental health treatment center.

Analysis of the admission data indicated that 48, or 9.9% of the study population, were admitted to the facility immediately upon sentencing. The remaining 90.1% had to await admission. Of those having to await admission, 212 waited while incarcerated, 208 awaited admission while "on-the-street" and 18 awaited admission in a combination of the two environments, or in a different environment.

Table 15: Probationers Immediately Admitted, and Those Who Waited For Admission by Waiting Location, and Average Waiting Time in Days

	Number		Number	Number	Number	Average
Judicial	Immediately	Number	Waited at	Waited	Waited	Days
District	Admitted	Waited	Home	Incarcerated	Other	Waited
1	7	55	20	29	6	77.0
2	5	86	45	40	1	31.8
3	3	22	15	7	0	59.6
4	3	43	26	16	1	87.6
5	4	118	44	66	8	63.3
6	8	59	27	30	2	49.6
7	17	27	14	13	0	15.9
8	1	28	17	11	0	94.4
Total	48	438	208	212	18	58.3

Table 16: High, Low and Average Waiting Time, in Days, for Facility Admission by Waiting Location and Judicial District

	Home			Incarcerated			Other		
Judicial	Low	High	Average	Low	High	Average	Low	High	Average
District	Wait	Wait	Wait	Wait	Wait	Wait	Wait	Wait	Wait
1	11	504	122.4	1	194	35.6	3	254	131.7
2	2	179	43.1	1	74	23.5	10	10	10.0
3	2	161	66.8	8	86	44.3	0	0	0.0
4	8	171	93.2	1	104	54.2	477	477	477.0
5	11	285	89.0	2	153	45.5	23	160	68.8
6	8	321	90.4	1	42	16.2	1	1	1.0
7	1	163	25.1	1	28	5.9	0	0	0.0
8	4	542	120.1	4	127	53.3	0	0	0.0

Table 15 and Table 16 portray the number of probationers who were not required to await admission to a residential facility, the number of those who did have to await admission; and, for those who were required to wait, where the wait took place and the average waiting time, by judicial district. The label “Home” represents street probation, while the label “Incarcerated” typically represents jail. “Other” represents a combination of street probation and incarceration, or another environment or combination of environments. It is of interest to note that during the time period studied, the 7th Judicial District had the highest number and percentage of probationers who were not required to wait for admission to a facility, as well as the shortest average waiting time for those who were required to wait for admission.

It would appear that the need for residential facility space for probationers exceeds the available space in view of the universal use of waiting lists to control admission to all of

the residential facilities. An examination was also made of the various methods in which the individuals on the waiting lists were prioritized for admission. A number of different methodologies were found.

At a number of facilities, it was indicated that the waiting list was prioritized based solely upon the date on which the court sentenced the individual to reside at the facility. This method was said to apply at Council Bluffs, Fort Dodge, Ottumwa and Sioux City.

At the Marshalltown facility, it was indicated that individuals who were incarcerated were given priority, with the remainder of the admissions being based on the date of sentence.

The Burlington and Davenport facilities appeared to prioritize admissions based on those individuals who were incarcerated first, homeless individuals second and the remainder of the probationers, based on the sentence date, third.

The two Waterloo facilities indicated admissions were prioritized on the bases of treatment need, incarceration, and sentence date, in that order.

The Dubuque facility indicated that admissions were prioritized on the bases of client need and public safety risk factors as determined by the facility manager and the district CBC office. Individuals who were incarcerated were given preference over those who were not incarcerated.

The two Cedar Rapids facilities indicated that those individuals who were incarcerated were admitted first, those who were homeless were taken second and others were prioritized on the basis of need as measured by the LSI.

The Coralville facility indicated that admissions were prioritized on the basis of level of need with those incarcerated and homeless being given priority and remaining admissions be prioritized on the basis of the LSI score and by date of sentence.

At the Sheldon facility, those individuals entering the facility from the Violator's Program were given priority, with the remaining individuals being prioritized on the basis of sentence date. This was similar to the Mason City facility where individuals coming from the Violator's Program were admitted first, those experiencing unusual circumstances such as homelessness being admitted second and the remaining individuals being admitted on the basis of their sentencing date.

The West Union facility indicated that priority admissions were based upon the recommendation of the Probation Officers, the needs of the individual such as those who were homeless, and then the sentencing date.

At the Des Moines men's facility, individuals who were given admission priority were determined by the Probation Officers and Judges, with those who were incarcerated being given the next priority, and finally the remainder of the individuals based upon the date on which the court order was received. At the Des Moines woman's facility, those incarcerated were admitted first, work release program participants second, and probationers were admitted third.

Finally, the Ames facility indicated that a number of factors were considered simultaneously, those being the referral date, the sentencing date, whether or not the individual was incarcerated and the individual's risk factors.

FACILITY INTAKE AND RESIDENT ORIENTATION

The intake and orientation procedures were highly uniform throughout all of the facilities visited, however, at least one area was noted in which the procedures appeared to vary. Upon entry to resident status, it was documented that some members of the study population were subjected to a search of their person and the personal property that they brought to the facility. In some instances, searches of the person were not conducted because the individual was coming from a secure environment, such as a jail, and in a few instances, a personal search was not conducted because there was not a staff member of the same sex as the probationer present to conduct the search. In those cases where a search was conducted and documented, there appeared to be a variation among the judicial districts as to what type of search was conducted, and in the case of the first judicial district, a variation among facilities. The data indicated that in the 2nd, 5th and 7th Judicial Districts, most documented searches conducted were strip searches. In the 6th and 8th Judicial Districts, most documented searches conducted were pat down searches. In the 1st Judicial District, the West Union facility utilized primarily pat down searches while the remainder of the facilities utilized primarily strip searches.

After arrival, the new residents met with a facility staff member. There was a discussion of the facility rules, with the new resident being provided some form of documentation containing these rules for future reference. A tour of the facility was normally conducted, and the resident was then assigned to a specific bed within the facility. Additional documentation was then completed to complete the intake process.

RESIDENT RECORDS

As was previously indicated, there appeared to be a general standard developed by DOC regarding the types of documents that should be maintained in each resident's case file. Further, it appeared that most of the judicial districts had also developed policies as to what types of documents that were to be maintained in the resident's case file. In reviewing the case files at all of the facilities serving probationers, there appeared to be a wide range in the completeness of the resident's case files. In many cases, a substantial variation in level of completeness of the case files was found within the individual facilities. Such incompleteness was understandable in some cases, such as when a resident would abscond shortly after entering the facility. In other cases, however, it was not clear why files did not contain the expected information.

MEDICAL SCREENING

There appeared to be several methodologies utilized in the medical screening of incoming residents, including probationers. At the facilities in the 5th Judicial District, a licensed physician administered a medical examination to each incoming resident. The resident paid the \$20.00 cost of this examination. At the facilities in the 6th Judicial District, a registered nurse performed a formal health screening. At the facilities in the 1st, 3rd and 4th Judicial Districts, a TB test was administered to each incoming resident. In the 2nd, 7th and 8th Judicial Districts, no formal medical examination or testing of new residents was conducted.

NEEDS AND RISK ASSESSMENTS

During the time period studied, there reportedly was some combination of three principal assessment tools administered to the incoming probationers. They were the Level of Service Inventory – Revised (LSI-R), the Jesness Inventory (JI) and the Case Planning Model Project (CMC). It was also reported that the use of the JI was to begin statewide January 1, 2000. Each of these instruments was utilized to assess certain needs of the subject as well as to measure certain risk factors. It should also be noted that it appeared that probationers at all facilities received substance abuse evaluations when ordered by the court or when indicated by the intake assessment process. A substance abuse provider normally conducted these evaluations.

During the on-site visits, the records of the probationers were examined. All assessments recorded in the records were recorded, as were the assessment scores. After the on-site visits were completed, and after analyses of certain of the data were conducted, a search was made of both the Iowa Community Based Corrections (ICBC) and Iowa Corrections Offender Network (ICON) databases, with a goal of identifying and recording all assessments and scores that had not been previously recorded. After these searches had been completed, it was found that 83.7% of the study population had identifiable LSI-R scores, while only 30.2% had identifiable JI scores and only 15.4% had identifiable CMC scores. Because of the low number of JI and CMC scores, no attempt was made to utilize either of these instruments in any analyses.

It was also found that in a number of facilities/districts, other assessment instruments were also utilized. At the Waterloo Residential Facility, a number of the probationers were found to have had the DOC Risk Assessment Instrument administered. This instrument is designed to measure the risk of recidivism based on a number of factors. Throughout the 2nd judicial district, extensive use was found of the Community Transition Program assessment instrument. This instrument was designed to measure the level of risk in returning the probationer to the community environment. In the 4th Judicial District, a number of the probationers were administered the Sex Offender Risk Assessment. This instrument was designed to measure the risk of recidivating as a sex offender. At the Fort Des Moines Residential Facility, it appeared that extensive use was made of the Taylor-Johnson assessment instrument. At the Des Moines Women's Facility, it appeared that almost all probationers were administered the Mini Mental assessment. In the 6th judicial district, the Hinzman and Nelson Centers appeared to extensively utilize the DOC Risk Assessment instrument. At the Davenport facility, it appeared that a number of probationers had the DOC Risk Assessment administered. In the 8th judicial district, it appeared that a number of probationers were administered the DOC Risk Assessment and a pre-employment evaluation. Again, there were not a sufficient number of the results of any of these assessment instruments found to allow meaningful analyses of the relationship with any other variable.

Tables 17 and 18 portray the lowest, highest, mean (average), median (middle) and mode (most frequent) LSI-R scores by individual facility and judicial district. The data appear to indicate that the LSI-R scores are approximately the same among the judicial districts, with the possible exception that the scores in the 6th Judicial District could be considered as being somewhat higher than the remainder of the judicial districts. Thus it could be concluded that in most cases, the residents had approximately the same level of recidivism risk and need for services as measured by the LSI-R.

Table 17: Low, High, Mean, Median and Mode LSI-R Scores by Judicial District

	Number	Number of	Lowest	Highest	Mean	Median	Mode
Judicial	Of	Admissions with	LSI-R	LSI-R	LSI-R	LSI-R	LSI-R
District	Admissions	LSI-R Scores	Score	Score	Score	Score	Score
1	62	56	15	50	30.0	30	30
2	91	85	6	46	29.8	30	30
3	25	23	8	41	27.4	27	18
4	46	27	16	44	27.5	27	24
5	122	103	10	42	27.6	28	31
6	67	53	18	47	34.3	35	31
7	44	33	14	41	27.3	27	30
8	29	27	14	36	26.2	28	28

Table 18: Low, High, Mean, Median and Mode LSI-R Scores by Facility

		Number	Number of	Lowest	Highest	Mean	Median	Mode
Judicial		Of	Admissions with	LSI-R	LSI-R	LSI-R	LSI-R	LSI-R
District	Facility	Admissions	LSI-R Scores	Score	Score	Score	Score	Score
1	DUBUQUE	9	9	17	35	26.0	26.0	26
1	WATERLOO-RF	39	34	17	50	31.7	31.0	33
1	WATERLOO-WRF	5	4	15	32	22.0	20.5	N/A
1	WEST UNION	9	9	22	38	31.1	31.0	30
2	AMES	21	21	6	40	28.6	30.0	35
2	FORT DODGE	16	15	15	40	28.6	29.0	31
2	MARSHALLTOWN	25	24	12	43	30.1	31.0	32
2	MASON CITY	29	25	16	46	31.1	30.0	28
3	SHELDON	9	9	19	38	30.2	31.0	N/A
3	SIOUX CITY	16	14	8	41	25.5	24.5	18
4	COUNCIL BLUFFS	46	27	16	44	27.5	27.0	24
5	FORT DES MOINES	99	90	10	42	27.9	29.0	31
5	DES MOINES WRF	23	13	15	38	25.8	25.0	25
6	HINZMAN CENTER	45	34	18	47	34.7	35.5	38
6	HOPE HOUSE	5	5	25	41	32.4	31.0	N/A
6	NELSON CENTER	17	14	23	45	33.8	34.0	29
7	DAVENPORT	44	33	14	41	27.3	27.0	30
8	BURLINGTON	13	11	19	34	25.8	27.0	28
8	OTTUMWA	16	16	14	36	26.5	28.0	24

At the time these LSI-R scores were collected, DOC and the CBC's were beginning to instruct facility staff to complete LSI-R assessments at both admission and discharge. Because more than one assessment score was seldom found for the study population, CJPJ was unable to measure any changes in risk or service needs that might have occurred during the residents' time at the facilities.

FACILITY WORK

At each facility, the residents, including probationers, performed certain housekeeping tasks, or “details”. These details were normally comprised of cleaning common rooms or other areas within the facility, washing windows, cutting grass, and in some facilities, food related work such as kitchen cleanup, washing dishes, etc. It was observed that these in-house jobs had at least three different roles within the various districts and facilities.

It appeared that the first role for the “details” was that of a sanction for violation of facility rules. In each of the judicial districts, instances were found where “extra details” were utilized as sanctions imposed for both minor and major rule violations.

The second role was that of a normal part of the probationer’s activities within the facility. Examples of this expectation were found in the 1st Judicial District, with some variation among the facilities within the district. At the West Union facility, the probationer was assigned one or more “details” upon admission to the facility. It was indicated that the residents perform the same detail(s) throughout their stay at the facility. In something of a contrast, at the Waterloo and Dubuque facilities, it was indicated that the residents were assigned certain details on a weekly basis, with the details being rotated among the residents.

The third role for the details at some of the facilities was that of providing a form of payment for the probationer’s rent obligation at the facility. For example, it was observed that in the 4th Judicial District, residents’ rent accounts appear to have been credited based on the number of hours worked on facility details. The amount of the credit appeared to have been computed by multiplying the number of hours worked on facility details by the prevailing minimum wage. In the 8th Judicial District, rent credit was also earned by residents on a regular basis. In the 5th Judicial District, the rent credit policy appeared to apply only to extra-ordinary details such as setting up a boxing ring, picking up construction debris, moving furniture, assisting the maintenance coordinator and working in the kitchen.

FACILITY RENT RATES

The rent charged to the probationers varied among several of the judicial districts, and in one case, varied within the judicial district. In the 3rd and 4th judicial districts, the rent rate was \$10.00 per night. In the 7th judicial district, the rent rate was \$11.00 per night. In the 1st, 5th, 6th and 8th judicial districts, the rent rate was \$12.00 per night. In the 2nd judicial district, the rent rate varied between the facilities, and ranged from \$8.00 per night at the Curt Forbes facility to \$12.00 per night at the Marshalltown facility.

It also appeared that in some instances, when the resident was on furlough or extended furlough, they continued to pay rent to the facility, but in some instances, at a reduced rate. For example, it was noted that in the 5th judicial district, when a resident was on furlough, the rent rate was reduced from \$12.00 per night to \$6.00 per night.

EVALUATION, EDUCATIONAL AND TREATMENT PROGRAMS

All facilities serving probationers provided residents with a number of evaluation, education and treatment programs. These programs were provided either by CBC staff or outside individuals/organizations, and were conducted either at the facility or off-

campus. In some cases, the programs were provided at no cost to the probationer as part of the facility's rehabilitative effort, and in other cases, the probationer was expected to help defray the cost of the program by payment of a fee. At the Marshalltown facility, the resident earned a rent credit, based on his/her successful completion of Day Programming elements.

All of the facilities serving probationers were found to have a number of programs that were common to each of the facilities. Specifically, those programs were:

- Substance Abuse Evaluation – Each facility, normally in conjunction with a local substance abuse treatment provider, offered the opportunity for a resident to receive a substance abuse evaluation. This evaluation was the tool normally utilized to determine whether or not a resident would be required to undergo substance abuse treatment. In most cases, the resident receiving the evaluation was required to pay the cost of that evaluation.
- Substance Abuse Treatment – Each facility, in conjunction with a local substance abuse treatment provider, offered a comprehensive substance abuse treatment program tailored to the specific needs of the individual undergoing treatment. In most cases, the resident was required to pay the costs associated with the treatment.
- Alcoholics Anonymous/Narcotics Anonymous (AA/NA) – Each facility worked closely with a local AA/NA group to make the 12-step program available to the residents. In some cases, the meetings were held at the facility.
- General Educational Development (GED) – Each residential facility, normally in conjunction with a local education program, offered GED preparation and testing. In most cases, the resident was responsible for payment of the testing costs.
- Batterers' Education Program (BEP) – While the BEP was not specifically listed by each facility as being available to their residents, it appears that BEP classes were in fact available in relatively close proximity to each of the facilities. Reasons for not listing the program as being available to residents may include the program being conducted by an outside agency outside of the facility, few, if any, residents participating in the program, etc. Those facilities specifically reporting BEP availability are indicated below.

In addition to the programs that were common to all facilities visited, each residential facility offered a number of additional programs. Based on the assessment(s) of the residents upon admission, they were normally required to enroll in one or more of the programs, if the staff believed that participation by the probationer was warranted. Below is a listing of the individual facilities, and the evaluation/educational programs made available to residents in addition to the common programs. CJJP asked each facility to provide information describing any costs of these programs for which the residents were expected to pay; such costs are indicated below.

Dubuque Residential Facility – Anger Management, Life Skills, Cognitive Skills, Batterers' Education Program, Sex Offender Treatment Program, and Women's Offender Program.

Waterloo Residential Facility – Dual Diagnosis Offender Program, Women's Offender Program, Cognitive Thinking (Hook, Line and Thinker) Program (\$40.00 for the program), Job Development, Parenting, Life Skills and Anger Management.

Waterloo Work Release Facility – Sex Offender Program, Chronic Substance Abuse Program, plus the same programs offered by the Waterloo Residential Facility.

West Union Residential Facility – Sex Offender Program (\$10.00 per session) and Cognitive Thinking program at (\$10.00 per session).

Curt Forbes Residential Facility – Batterers' Education Program, Cognitive Clear Thinking, Sex Offender Program. In addition to the foregoing, there is a "Day Program" with components of Time Management, Life Skills, Conflict Resolution, Community Involvement, Financial Management, Victim Impact, Parenting and Relationships.

Fort Dodge Residential Facility – Criminal Conduct and Substance Abuse (\$25.00 per phase), Anger Management (\$40.00 for the program) and Cognitive Thinking (\$40.00 for the program).

Marshalltown Residential Facility – Cognitive Skills (\$40.00 for the program), Clear Thinking, Anger Management, Batterers' Education Program, Moving On (a Women's course) and Sex Offender Group (\$10.00 per group meeting). In addition, there was a Core Day Program which consisted of one and one-half day sessions on topics such as: Career Enhancement, Empathy Awareness, Parenting, Relationships, Communications Skills, Financial Management and Time Management. It should be noted that at this facility, residents were given rent credits for successful completion of the Core Day Program classes.

Beje Clark Residential Facility – Cognitive Skills (\$40.00 for the program), Batterers' Education Program (cost set by the provider) and Sex Offender Treatment Program (cost set by the provider).

Sheldon Residential Facility – Problem Solving, Life Skills, Anger Management (\$5.00 per class), Empathy Class (\$5.00 per class) and Batterers' Education Program (cost set by the provider).

Sioux City Residential Facility – Anger Management (\$5.00 per class), Empathy Program (\$5.00 per class) and Sex Offender Program (\$200.00 plus \$25.00 per counseling session and \$10.00 per group session).

Council Bluffs Residential Facility – Cognitive Thinking, Vocational Rehabilitation and Sex Offender Treatment (\$20.00 per week).

Fort Des Moines Residential Facility – Job Development, Anger Management, Family Programs and Art Therapy.

Des Moines Women's Residential Facility – Criminal Thinking, Criminal Behavior, Cognitive Restructuring, Women With Children, Abuse Victimization, Parenting, Nutrition and Family Reunification.

Gerald R. Hinzman Center – Batterers' Education Program, Positive Solutions, Cognitive Skills, Budgeting, Future Choices (substance abuse), Parenting, Self Esteem, Service Learning (community service) and Sex Offender Treatment.

Larry A. Nelson Center – Identical to that of the Hinzman Center.

Hope House – Batterers' Education Program and Victim Awareness.

Davenport Residential Facility – Anger Management, Batterers' Education Program (\$15.00 per week), Life Skills, Violator Aftercare Program and Sex Offender Treatment (\$16.00 per week).

Burlington Residential Facility – Pre-Employment and Cognitive Skills (\$30.00 for the program), Leisure Skills, Sex Offender Treatment (\$10.00 to \$13.00 per week), Anger Management and Batterers' Education Program (\$220.00 for the program).

Ottumwa Residential Facility – Reasoning Skills, Relapse Prevention, Anger Management and Parenting.

LENGTH OF FACILITY STAY

The types of program completion should be defined before data analyses are made. For purposes of this study, two types of program completion were defined, successful and unsuccessful. Successful completion was defined as no longer residing at the facility on a long-term, continuous basis after being transferred by CBC to a less controlled environment. These environments included extended furlough, transition programs, street probation and outright release from all supervision. Unsuccessful completion was defined as absconding from the facility, or being transferred by CBC to a more stringently controlled environment, such as the violator's program, jail or prison.

Table 19: Length of Facility Stay in Months by Judicial District and Completion Type

Judicial District	Successful		Unsuccessful	
	High Time	Average Time	High Time	Average Time
1	12.2	5.0	10.8	4.0
2	11.9	4.1	6.5	2.8
3	5.7	3.5	6.9	2.7
4	10.5	3.5	7.2	4.7
5	5.0	2.7	4.6	1.6
6	12.9	6.8	11.5	3.4
7	8.1	4.1	8.5	3.8
8	7.2	4.9	7.3	4.0
ALL	12.9	4.1	11.5	3.0

Analyses of the data indicate some differences in the length of time that the probationers resided at the various facilities. Table 19 indicates the amount of time, in months, which the probationers resided at the facilities. As might be expected, those who successfully completed the program resided at the facility for a longer period of time than those who did not successfully complete the program. Among the judicial districts, the average time for successful completion ranged from 2.7 months in the 5th judicial district to 6.8 months in the 6th judicial district. The average successful completion time for all probationers was 4.1 months. For those not successfully completing the program, the average length of stay varied from 1.6 months in the 5th judicial district to 4.0 months in both the 1st and 8th judicial districts and 4.6 months in the 4th district. The average

participation time for all probationers in the study group not successfully completing the program was 3.0 months.

Table 20 portrays the program participation time for the study population by completion type and individual facility. Again given the caveat of small numbers, it appears that there may be a noteworthy variation in the average completion time for both successful and unsuccessful completion groups. The lowest average successful completion time was 2.5 months for the Des Moines Women's Facility. That was closely followed by the Des Moines Men's Facility with an average successful completion of 2.7 months. At the opposite end of the spectrum, the Dubuque facility residents took an average of 8.1 months to successfully complete the program. At the Hope House facility, those who successfully completed the program spent an average of 7.7 months in the facility.

Table 20: Length of Facility Stay in Months by Facility and Completion Type

Judicial District	Residential Facility	Successful		Unsuccessful	
		High Time	Average Time	High Time	Average Time
1	Dubuque	11.7	8.1	10.8	6.5
1	Waterloo-RTF	12.2	4.3	5.6	3.0
1	Waterloo-WRF	4.6	3.5	N/A	N/A
1	West Union	8.5	5.9	6.3	5.3
2	Ames	11.9	4.4	3.5	1.9
2	Fort Dodge	9.3	4.2	6.5	3.3
2	Marshalltown	8.6	4.8	4.5	2.5
2	Mason City	5.4	3.5	4.7	3.9
3	Sheldon	5.1	3.2	0.9	0.9
3	Sioux City	6.1	3.7	6.9	3.0
4	Council Bluffs	10.5	3.5	7.2	4.7
5	Fort Des Moines	5.0	2.7	4.6	1.6
5	Des Moines Women	3.6	2.5	3.8	1.7
6	Hinzman Center	12.9	6.6	11.5	3.7
6	Hope House	12.1	7.7	3.2	3.2
6	Nelson Center	10.3	6.8	4.9	2.2
7	Davenport	8.1	4.1	8.5	3.8
8	Burlington	7.2	5.7	7.3	5.1
8	Ottumwa	5.9	4.3	6.8	3.1
	All Facilities	12.9	4.1	11.5	3.0

OUTCOMES

The following section of this report will examine several variables that could be considered as “outcome variables”. However, before these variables are examined, it is essential that the environment in which these outcomes were obtained be examined and delineated.

In this study, the experiences of all probationers entering residential facilities between January 1, 2000 and March 31, 2000 were examined. Entry into a facility represented the starting point for this examination. The end point of the examination of the facility experience came when subjects no longer resided at a facility on a long-term basis, and as such, were not subjected to the stringent supervision and other requirements inherent with the facility environment. All experiences prior to the entry of subjects into the facilities were considered pre-facility experiences, and all experiences of subjects subsequent to this end point were considered as post-facility experiences.

For purposes of this study, the defining element for being considered a participant in a residential facilities program was residing at the facility. The facility provides a very specific environment in which the residents are expected to function in certain ways. This environment is characterized by close, intensive supervision coupled with a certain degree of freedom to travel outside of the facility. It is also characterized by mandatory participation in educational programs, substance abuse testing and adherence to rules that are found in no other environment. This environment is not duplicated when an individual is incarcerated and more closely supervised, or on extended, continuous absence from the facility while under less intense supervision, as would be the case of an “extended furlough”, or while unsupervised, as would be the case of a resident who has absconded. Therefore, for purposes of this study, the resident’s program participation is deemed to have ended when he/she was no longer residing at the facility on a long term, consistent basis.

A number of the analyses that follow deal with the issue of recidivism. For purposes of this study, recidivism was defined as being arrested or otherwise brought before the court for the commission of a public offense, including violation of probation and contempt of court, after completing the residential facility program, as defined above, and having been convicted of a public offense as a result of those charges, or having the charges still pending before the court. Arrest incidents wherein the resident was found not guilty of all charges, or had all charges dismissed, were not considered a recidivist act.

Table 21: Program Completion Type By Age Range

	Number	Percentage	Number	Percentage
Age	Successful	Successful	Unsuccessful	Unsuccessful
Range	Completions	Completions	Completions	Completions
< 20	64	59.3%	44	40.7%
20 – 29	159	72.3%	61	27.7%
30 – 39	79	84.0%	15	16.0%
40 – 49	37	78.7%	10	21.3%
50 +	6	75.0%	2	25.0%
TOTAL	345	72.4%	132	27.6%

Table 22: Program Completion Type By Gender

	Number	Percentage	Number	Percentage
	Successful	Successful	Unsuccessful	Unsuccessful
Gender	Completions	Completions	Completions	Completions
Male	284	70.5%	119	29.5%
Female	61	82.4%	13	17.6%
TOTAL	345	72.4%	132	27.6%

Table 23: Program Completion Type By Race

	Number	Percentage	Number	Percentage
	Successful	Successful	Unsuccessful	Unsuccessful
Ethnicity	Completions	Completions	Completions	Completions
Caucasian	288	75.4%	94	24.6%
African American	55	59.8%	37	40.2%
Other	2	66.7%	1	33.3%
TOTAL	345	72.4%	132	27.6%

Tables 21, 22 and 23 display the program completion type by age range, gender and race respectively. The data appear to indicate that females are more likely to successfully complete the residential facilities program than males and that Caucasians are more likely to successfully complete than members of other racial groups. It also appears that probationers in the age range of 30 - 39 are the most likely to successfully complete the program, and that those probationers under the age of 20 are the least likely to successfully complete the program.

Table 24: Program Completion Type By Judicial District

	Number	Number	Percentage	Number	Percentage	Number	Percentage
Judicial	Of	Successful	Successful	Unsuccessful	Unsuccessful	Still	Still
District	Admissions	Completions	Completions	Completions	Completions	Active	Active
1	62	43	69.4%	18	29.0%	1	1.6%
2	91	72	79.1%	19	20.9%	0	0.0%
3	25	18	72.0%	7	28.0%	0	0.0%
4	46	40	87.0%	4	8.7%	2	4.3%
5	122	90	73.8%	32	26.2%	0	0.0%
6	67	38	56.7%	26	38.8%	3	4.5%
7	44	26	59.1%	15	34.1%	3	6.8%
8	29	18	62.1%	11	37.9%	0	0.0%
TOTAL	486	345	71.0%	132	27.2%	9	1.9%

Table 25: Program Completion Type By Facility

		Number	Number	Percentage	Number	Percentage	Number	Percentage
Judicial		Of	Successful	Successful	Unsuccessful	Unsuccessful	Still	Still
District	Facility	Admissions	Completions	Completions	Completions	Completions	Active	Active
1	DUBUQUE	9	6	66.7%	3	33.3%	0	0.0%
1	WATERLOO-RF	39	27	69.2%	12	30.8%	0	0.0%
1	WATERLOO-WRF	5	4	80.0%	0	0.0%	1	20.0%
1	WEST UNION	9	6	66.7%	3	33.3%	0	0.0%
2	AMES	21	16	76.2%	5	23.8%	0	0.0%
2	FORT DODGE	16	13	81.3%	3	18.8%	0	0.0%
2	MARSHALLTOWN	25	18	72.0%	7	28.0%	0	0.0%
2	MASON CITY	29	25	86.2%	4	13.8%	0	0.0%
3	SHELDON	9	8	88.9%	1	11.1%	0	0.0%
3	SIOUX CITY	16	10	62.5%	6	37.5%	0	0.0%
4	COUNCIL BLUFFS	46	40	87.0%	4	8.7%	2	4.3%
5	FORT DES MOINES	99	72	72.7%	27	27.3%	0	0.0%
5	DES MOINES WRF	23	18	78.3%	5	21.7%	0	0.0%
6	HINZMAN CENTER	45	23	51.1%	20	44.4%	2	4.4%
6	HOPE HOUSE	5	4	80.0%	1	20.0%	0	0.0%
6	NELSON CENTER	17	11	64.7%	5	29.4%	1	5.9%
7	DAVENPORT	44	26	59.1%	15	34.1%	3	6.8%
8	BURLINGTON	13	8	61.5%	5	38.5%	0	0.0%
8	OTTUMWA	16	10	62.5%	6	37.5%	0	0.0%
	TOTAL	486	345	71.0%	132	27.2%	9	1.9%

Tables 24 and 25 indicate the distribution of successful and unsuccessful program completions among the judicial districts as well as the individual facilities. It can be seen that as of February 2001, less than 2% of the study population were still actively participating in the residential facilities program. It can also be observed that overall, almost three of every four members of the study population were considered to have successfully completed the residential facility program.

At both the judicial district and facility level, there appeared to be some substantial variation in the successful completion rate. At the district level, the successful completion rate ranged from 56.7% in the 6th judicial district to 87.0% in the 4th judicial district. At the facility level, it must be noted that in some cases, the number of the members of the study population could be considered small, with five of the facilities having fewer than ten residents included in the study population. Therefore the data displayed may not be representative of the overall probationer population participating in the residential facilities program over an extended period of time. Given that caveat, it can be observed that the successful completion rate ranged from 51.1% at the Hinzman Center to 88.9% at the Sheldon Facility.

Table 26: Primary Reason For Unsuccessful Completion By Judicial District

	Number	Number	Percentage	Number	Percentage	Number	Percentage
Judicial District	Unsuccessful Completions	Abscond/Escape	Abscond/Escape	Revoked & Incarcerated	Revoked Incarcerated	Other Reason	Other Reason
1	18	4	22.2%	10	55.6%	4	22.2%
2	19	7	36.8%	12	63.2%	0	0.0%
3	7	4	57.1%	1	14.3%	2	28.6%
4	4	1	25.0%	3	75.0%	0	0.0%
5	32	27	84.4%	5	15.6%	0	0.0%
6	26	16	61.5%	7	26.9%	3	11.5%
7	15	5	33.3%	10	66.7%	0	0.0%
8	11	2	18.2%	9	81.8%	0	0.0%
TOTAL	132	66	50.0%	57	43.2%	9	6.8%

Tables 26 and 27 display the primary reason for the members of the study population unsuccessfully completing the program by judicial district and individual facility. One-half of those unsuccessfully completing the program did so because of absconding from the facility. The majority of the remaining residents were sentenced by the court to various periods of incarceration as the result of having their probation revoked by the court. The other reasons for not successfully completing the entire program were transfer to another residential facility (4), court orders placing the resident on regular probation (2) or intensive probation (2), and signing out of the program (1).

The data indicate that there is substantial variation in the primary reason for unsuccessful completion among the judicial districts. In the 5th judicial district, absconding/escaping constituted 84.4% of the unsuccessful completions. This compared with a rate of 18.2% in the 8th judicial district. Similarly, in the 8th judicial district the rate of unsuccessful completion due to probation revocation was 81.8%. This compared to a rate of 14.3% in the 3rd judicial district and 15.6% in the 5th judicial district.

Table 27: Primary Reason for Unsuccessful Completion By Facility

		Number	Number	Percentage	Number	Percentage	Number	Percentage
Judicial		Unsuccessful	Abscond/	Abscond/	Revoked &	Revoked &	Other	Other
District	Facility	Completions	Escape	Escape	Incarcerated	Incarcerated	Reason	Reason
1	DUBUQUE	3	0	0.0%	3	100.0%	0	0.0%
1	WATERLOO-RF	12	3	25.0%	5	41.7%	4	33.3%
1	WATERLOO-WRF	0	0	0.0%	0	0.0%	0	0.0%
1	WEST UNION	3	1	33.3%	2	66.7%	0	0.0%
2	AMES	5	2	40.0%	3	60.0%	0	0.0%
2	FORT DODGE	3	0	0.0%	3	100.0%	0	0.0%
2	MARSHALLTOWN	7	5	71.4%	2	28.6%	0	0.0%
2	MASON CITY	4	0	0.0%	4	100.0%	0	0.0%
3	SHELDON	1	0	0.0%	0	0.0%	1	100.0%
3	SIOUX CITY	6	4	66.7%	1	16.7%	1	16.7%
4	COUNCIL BLUFFS	4	1	25.0%	3	75.0%	0	0.0%
5	FORT DES MOINES	27	23	85.2%	4	14.8%	0	0.0%
5	DES MOINES WRF	5	4	80.0%	1	20.0%	0	0.0%
6	HINZMAN CENTER	20	13	65.0%	5	25.0%	2	10.0%
6	HOPE HOUSE	1	0	0.0%	0	0.0%	1	100.0%
6	NELSON CENTER	5	3	60.0%	2	40.0%	0	0.0%
7	DAVENPORT	15	5	33.3%	10	66.7%	0	0.0%
8	BURLINGTON	5	1	20.0%	4	80.0%	0	0.0%
8	OTTUMWA	6	1	16.7%	5	83.3%	0	0.0%
	TOTAL	132	66	50.0%	57	43.2%	9	6.8%

It should be noted that of the residents that absconded, it was documented that many were apprehended shortly after leaving the facility. Of those, some had their probation revoked and were sentenced to a period of incarceration by the court, while others were ordered to participate in rehabilitative programs, including returning to the facility from which they absconded. It would appear reasonable to assume that almost all of the individuals absconding from a residential facility were later apprehended and some form of sanction was imposed by the court for absconding.

Table 28: Disposition of Probation Revocations By Judicial District

	Number	Number	Percentage	Number	Percentage	Number	Percentage
Judicial	Residents	Revoked	Revoked	Revoked To	Revoked To	Revoked	Revoked
District	Revoked	To Jail	To Jail	Violator Prg	Violator Prg	To Prison	To Prison
1	10	1	10.0%	0	0.0%	9	90.0%
2	12	0	0.0%	7	58.3%	5	41.7%
3	1	0	0.0%	0	0.0%	1	100.0%
4	3	2	66.7%	0	0.0%	1	33.3%
5	5	2	40.0%	0	0.0%	3	60.0%
6	7	0	0.0%	1	14.3%	6	85.7%
7	10	2	20.0%	0	0.0%	8	80.0%
8	9	0	0.0%	1	11.1%	8	88.9%
TOTAL	57	7	12.3%	9	15.8%	41	71.9%

Note: One of the eight residents shown as being revoked to prison from the 7th judicial district was actually revoked to an out of state facility on an arrest warrant.

Table 29: Disposition of Probation Revocations By Facility

		Number	Number	Percentage	Number	Percentage	Number	Percentage
Judicial		Revoked &	Revoked to	Revoked to	Revoked to	Revoked to	Revoked to	Revoked to
District	Facility	Incarcerated	Jail	Jail	Violator Prog	Violator Prog	Prison	Prison
1	DUBUQUE	3	1	33.3%	0	0.0%	2	66.7%
1	WATERLOO-RF	5	0	0.0%	0	0.0%	5	100.0%
1	WATERLOO-WRF	0	0	0.0%	0	0.0%	0	0.0%
1	WEST UNION	2	0	0.0%	0	0.0%	2	100.0%
2	AMES	3	0	0.0%	3	100.0%	0	0.0%
2	FORT DODGE	3	0	0.0%	1	33.3%	2	66.7%
2	MARSHALLTOWN	2	0	0.0%	0	0.0%	2	100.0%
2	MASON CITY	4	0	0.0%	3	75.0%	1	25.0%
3	SHELDON	0	0	0.0%	0	0.0%	0	0.0%
3	SIOUX CITY	1	0	0.0%	0	0.0%	1	100.0%
4	COUNCIL BLUFFS	3	2	66.7%	0	0.0%	1	33.3%
5	FORT DES MOINES	4	1	25.0%	0	0.0%	3	75.0%
5	DES MOINES WRF	1	1	100.0%	0	0.0%	0	0.0%
6	HINZMAN CENTER	5	0	0.0%	0	0.0%	5	100.0%
6	HOPE HOUSE	0	0	0.0%	0	0.0%	0	0.0%
6	NELSON CENTER	2	0	0.0%	1	50.0%	1	50.0%
7	DAVENPORT	10	2	20.0%	0	0.0%	8	80.0%
8	BURLINGTON	4	0	0.0%	0	0.0%	4	100.0%
8	OTTUMWA	5	0	0.0%	1	20.0%	4	80.0%
	TOTAL	57	7	12.3%	9	15.8%	41	71.9%

Note: One of the eight residents shown as being revoked to prison from the Davenport facility was actually revoked to an out of state facility on an arrest warrant.

Tables 28 and 29, above, indicate the disposition of those members of the study population who had their probations revoked as a result of their actions while participating in the residential facilities program. The data indicate that most individuals were sentenced to a prison term.

Table 30: Disposition of Successful Completions By Judicial District

	Number Of	Released	Percentage	Released	Percentage		Percentage
Judicial	Successful	Regular	Regular	Intensive	Intensive	Probation	Probation
District	Completions	Probation	Probation	Probation	Probation	Terminated	Terminated
1	43	32	74.4%	8	18.6%	3	7.0%
2	72	53	73.6%	17	23.6%	2	2.8%
3	18	17	94.4%	1	5.5%	0	0.0%
4	40	28	70.0%	10	25.0%	2	5.0%
5	90	69	76.7%	18	20.0%	3	3.3%
6	38	25	65.8%	10	26.3%	3	7.9%
7	26	17	65.4%	3	11.5%	6	23.1%
8	18	12	66.7%	5	27.8%	1	5.6%
TOTAL	345	253	73.3%	72	20.9%	20	5.8%

Table 31: Disposition of Successful Completions by Facility

		Number	Released To	Percentage	Released To	Percentage		Percentage
JUDICIAL		Successful	Regular	Regular	Intensive	Intensive	Probation	Probation
DISTRICT	FACILITY	Completions	Probation	Probation	Probation	Probation	Terminated	Terminated
1	DUBUQUE	6	0	0.0%	5	83.3%	1	16.7%
1	WATERLOO-RF	27	24	88.9%	2	7.4%	1	3.7%
1	WATERLOO-WRF	4	3	75.0%	1	25.0%	0	0.0%
1	WEST UNION	6	5	83.3%	0	0.0%	1	16.7%
2	AMES	16	11	68.8%	3	18.8%	2	12.5%
2	FORT DODGE	13	9	69.2%	4	30.8%	0	0.0%
2	MARSHALLTOWN	18	11	61.1%	7	38.9%	0	0.0%
2	MASON CITY	25	22	88.0%	3	12.0%	0	0.0%
3	SHELDON	8	8	100.0%	0	0.0%	0	0.0%
3	SIOUX CITY	10	9	90.0%	1	10.0%	0	0.0%
4	COUNCIL BLUFFS	40	28	70.0%	10	25.0%	2	5.0%
5	FORT DES MOINES	72	54	75.0%	15	20.8%	3	4.2%
5	DES MOINES WRF	18	15	83.3%	3	16.7%	0	0.0%
6	HINZMAN CENTER	23	16	69.6%	6	26.1%	1	4.3%
6	HOPE HOUSE	4	4	100.0%	0	0.0%	0	0.0%
6	NELSON CENTER	11	5	45.5%	4	36.4%	2	18.2%
7	DAVENPORT	26	17	65.4%	3	11.5%	6	23.1%
8	BURLINGTON	8	5	62.5%	2	25.0%	1	12.5%
8	OTTUMWA	10	7	70.0%	3	30.0%	0	0.0%
	TOTAL	345	253	73.3%	72	20.9%	20	5.8%

Table 30 and Table 31 depict the disposition of the study population that successfully completed the residential facilities program at the judicial district and facility level respectively. As relates to the entire population, the data indicate that almost three of every four probationers successfully completing the residential facilities program were released to regular probation, more than one of every five subjects were released to intensive probation and the remainder had their probation terminated when they successfully completed the program. It appears that the 3rd judicial district made extensive use of normal probation in that almost 95% of those probationers were transferred to that form of supervision. This somewhat contrasts to the remainder of the judicial districts where from 11% to 26% of the subjects were transferred to intensive probation, with most judicial districts having 20% or more so transferred.

The data indicate some differences among the facilities, even within the same judicial district. For example, in the 1st judicial district, only 20% of the probationers successfully completing the residential facility program and remaining on probation were transferred to intensive probation. This is in contrast to the West Union facility where 100% of the probationers remaining on probation were transferred to intensive probation after successfully completing the residential facility program.

RECIDIVISM

For purposes of this study, recidivism was defined as being arrested or otherwise brought before the court for the commission of a public offense, including violation of probation and contempt of court, after completing the residential facility program, as defined above, and having been convicted of a public offense as a result of those charges, or having the charges still pending before the court. Arrest incidents wherein the resident was found not guilty of all charges, or had all charges dismissed, were not considered as a recidivist act.

There is one other key component to the recidivism analyses that follow, that being the ending date of the review period. A final review of the various criminal justice system databases was conducted in mid-March, 2001. Based on the reporting requirements of the computerized criminal history system, this final review should have recognized all Iowa arrests that occurred prior to March 1, 2001. Therefore, in the analyses that follow, we will review the arrest experiences of the study population commencing with the date of discharge from the facility, and ending on February 28, 2001.

Table 32 and Table 33 depict the arrest experiences of those members of the study population who successfully completed the residential facilities program by judicial district and facility respectively. These data indicate that less than one-fourth of the entire study population who successfully completed the program recidivated. There appeared to be some variation in the numerical recidivism rate between the judicial districts, ranging from a rate of 5.6% in the 8th judicial district to rate of 38.9% in the 3rd judicial district. Among the individual facilities, the recidivism rate varied from 0% for the Burlington facility to 75% for Hope House. Again, however, the small number caveat previously stated should be recalled.

Table 32: Post-Facility Arrests - Successful Completion By Judicial District

Judicial District	Number Of Successful Completions	One Post-Facility Arrest	Two Post-Facility Arrests	Three Post-Facility Arrests	Four Post-Facility Arrests	Total Post-Facility Arrested	Percentage Post-Facility Arrested
1	43	7	1	0	0	8	18.6%
2	72	16	1	1	0	18	25.0%
3	18	5	2	0	0	7	38.9%
4	40	3	4	1	0	8	20.0%
5	90	19	2	2	0	23	25.6%
6	38	9	0	0	1	10	26.3%
7	26	3	0	0	0	3	11.5%
8	18	1	0	0	0	1	5.6%
TOTAL	345	63	10	4	1	78	22.6%

Table 33: Post-Facility Arrests - Successful Program Completion By Facility

		Number	One	Two	Three	Four or More	Total	Percentage
JUDICIAL		Successful	Post-Facility	Post-Facility	Post-Facility	Post-Facility	Post-Facility	Post-Facility
DISTRICT	FACILITY	Completions	Arrest	Arrests	Arrests	Arrests	Arrested	Arrests
1	DUBUQUE	6	1	0	0	0	1	16.7%
1	WATERLOO-RF	27	4	1	0	0	5	18.5%
1	WATERLOO-WRF	4	1	0	0	0	1	25.0%
1	WEST UNION	6	1	0	0	0	1	16.7%
2	AMES	16	4	0	1	0	5	31.3%
2	FORT DODGE	13	2	0	0	0	2	15.4%
2	MARSHALLTOWN	18	6	1	0	0	7	38.9%
2	MASON CITY	25	4	0	0	0	4	16.0%
3	SHELDON	8	3	1	0	0	4	50.0%
3	SIOUX CITY	10	2	1	0	0	3	30.0%
4	COUNCIL BLUFFS	40	3	4	1	0	8	20.0%
5	FORT DES MOINES	72	15	1	2	0	18	25.6%
5	DES MOINES WRF	18	4	1	0	0	5	27.8%
6	HINZMAN CENTER	23	3	0	0	0	3	13.0%
6	HOPE HOUSE	4	2	0	0	1	3	75.0%
6	NELSON CENTER	11	4	0	0	0	4	36.4%
7	DAVENPORT	26	3	0	0	0	3	11.5%
8	BURLINGTON	8	0	0	0	0	0	0.0%
8	OTTUMWA	10	1	0	0	0	1	10.0%
	TOTAL	345	63	10	4	1	78	22.6%

Table 34: Post-Facility Arrests - Unsuccessful Completion By Judicial District

	Number	One Post-	Two Post-	Three Post-	Four Post-	Total Post-	Percentage
JUDICIAL	Unsuccessful	Facility	Facility	Facility	Facility	Facility	Post-Facility
DISTRICT	Completions	Arrest	Arrests	Arrests	Arrests	Arrested	Arrested
1	18	3	0	0	0	3	16.7%
2	19	0	1	0	0	1	5.3%
3	7	3	1	0	0	4	57.1%
4	4	0	0	0	0	0	0.0%
5	32	12	4	3	1	20	62.5%
6	26	5	3	0	0	8	30.8%
7	15	0	0	0	0	0	0.0%
8	11	0	1	0	0	1	9.1%
TOTAL	132	23	10	3	1	37	28.0%

Table 35: Post-Facility Arrests - Unsuccessful Program Completion By Facility

		Number	One	Two	Three	Four or More	Total	Percentage
Judicial		Unsuccessful	Post-Facility	Post-Facility	Post-Facility	Post-Facility	Post-Facility	Post-Facility
District	FACILITY	Completions	Arrest	Arrests	Arrests	Arrests	Arrested	Arrests
1	DUBUQUE	3	0	0	0	0	0	0.0%
1	WATERLOO-RF	12	3	0	0	0	3	25.0%
1	WATERLOO-WRF	0	0	0	0	0	0	0.0%
1	WEST UNION	3	0	0	0	0	0	0.0%
2	AMES	5	0	0	0	0	0	0.0%
2	FORT DODGE	3	0	0	0	0	0	0.0%
2	MARSHALLTOWN	7	0	1	0	0	1	14.3%
2	MASON CITY	4	0	0	0	0	0	0.0%
3	SHELDON	1	1	0	0	0	1	100.0%
3	SIOUX CITY	6	2	1	0	0	3	50.0%
4	COUNCIL BLUFFS	4	0	0	0	0	0	0.0%
5	FORT DES MOINES	27	12	4	3	0	19	70.4%
5	DES MOINES WRF	5	0	0	0	1	1	20.0%
6	HINZMAN CENTER	20	3	2	0	0	5	25.0%
6	HOPE HOUSE	1	1	0	0	0	1	100.0%
6	NELSON CENTER	5	1	1	0	0	2	40.0%
7	DAVENPORT	15	0	0	0	0	0	0.0%
8	BURLINGTON	5	0	1	0	0	1	20.0%
8	OTTUMWA	6	0	0	0	0	0	0.0%
	TOTAL	132	23	10	3	1	37	28.0%

Tables 34 and 35 display the recidivism data for those members of the study population who did not successfully complete the residential facilities program by judicial district and individual facility respectively. Overall, 28.0% of those who unsuccessfully completed the residential facilities program recidivated. This compares to the recidivism rate of 22.6% for those who successfully completed the program. Being mindful of the relatively small number of such subjects in some judicial districts, it can be seen that the recidivism rate for probationers not completing the facility program successfully varied from 0% in the 4th and 7th judicial districts to 62.5% in the 5th judicial district.

When reviewing the recidivism findings in this report, one other factor should be considered. One-half of those who did not successfully complete the program were found to have escaped/absconded from the facility. Of those, one-third had been arrested for the escape, and thus had recidivated. The remaining two-thirds had yet to be arrested even though warrants for their arrest had most likely been issued. If one were to assume that each of those individuals would eventually be arrested based on the existing arrest warrant, those arrests would raise the effective recidivism rate to 61.2% for those unsuccessfully completing the program. Assuming this is the case would allow for the conclusion that while 61% of those not successfully completing the program had recidivated, only 23% of those successfully completing the program had recidivated during the time period of this study.

Further analyses of the post-facility arrest data indicate an apparent difference in the average number of arrests experienced by the two groups. Those subjects who

successfully completed the program experienced a total of 99 arrests, or .287 arrests per individual. In comparison, those who unsuccessfully completed the program experienced a total of 56 arrests, or an average of .424 arrests per subject. It would thus appear that the unsuccessful completion group experienced 47.7% more post-facility average arrests per subject than the members of the successful completion group.

TIME AT RISK

In evaluating the recidivism data, it is necessary to consider the amount of time in which the members of the study population were at risk to recidivate. The "end date" of February 28, 2001 was previously discussed. For those members of the study population who did not have their probations revoked or were not arrested, the time at risk was the period from the discharge date to the end date. For those who were arrested, their time at risk was the period from the discharge date to the date of arrest. For those who had their probation revoked, the time at risk was the period from the discharge date to the revocation date or arrest date, whichever occurred first. However, if a revoked individual was released from incarceration prior to the end date, the additional time they were at risk to recidivate was also recognized.

For the entire study population that did complete the program, the time at risk ranged from a low of one week, .25 month, to well over one year, 13.5 months, and averaged 6.3 months per resident. For those residents successfully completing, the time at risk ranged from one week, .25 month, to one year and one month, 13.0 months, and averaged 7.2 months at risk. For those not successfully completing, the time at risk ranged from two weeks, .50 month, to one year, one and one-half months, 13.5 months, and averaged a maximum of 4.1 months at risk.

Table 36: Average Time At Risk and Time to First Recidivist Act, in Months, and Level of Recidivist Act, By Judicial District

	Average # of Months	Average # to First Arrest	B Class Felony	C Class Felony	D Class Felony	Aggravated Misdem	Serious Misdem	Simple Misdem
Judicial District	At Risk							
1	5.9	3.4	0	1	3	4	3	0
2	6.4	3.0	0	6	1	7	5	0
3	6.1	3.2	0	0	2	2	7	0
4	7.0	2.6	0	0	2	5	0	1
5	7.4	3.7	2	2	8	14	17	0
6	4.9	2.9	0	1	1	5	11	0
7	6.0	5.3	0	0	1	1	1	0
8	5.2	5.5	0	0	1	0	1	0
TOTAL	6.3	3.4	2	10	19	38	45	1

The time at risk appeared to be less for those not successfully completing the program. This is thought to have resulted from a number of factors. First, a number of those individuals not successfully completing the program had their probation revoked, and were incarcerated, usually in prison. This normally took place in close proximity to the discharge date, thus these individuals had very little time at risk. Second, comparing Tables 36 and 37, it can be seen that those who did not successfully complete the program tended to recidivate in a shorter period of time, thus reducing their time at risk. Third, as was previously shown, 50% of the unsuccessful probationers absconded and

almost immediately had warrants for their arrest issued. This tended to reduce the amount of time until an arrest, as these individuals were already wanted for an offense and being actively sought by law enforcement authorities.

Table 37: Average Time to First Recidivist Act, in Months, and Level of Offense For Probationers Successfully Completing By Judicial District

		Average # Of Months						
Judicial District	Number Arrested	to First Arrest	B Class Felony	C Class Felony	D Class Felony	Aggravated Misdem	Serious Misdem	Simple Misdem
1	8	3.5	0	0	3	4	1	0
2	18	2.9	0	6	1	6	5	0
3	7	3.8	0	0	1	2	4	0
4	8	2.6	0	0	2	5	0	1
5	23	3.9	2	1	3	8	9	0
6	10	3.8	0	1	0	4	5	0
7	3	5.3	0	0	1	1	1	0
8	1	5.8	0	0	1	0	0	0
TOTAL	78	3.5	2	8	12	30	25	1

Table 38: Average Time to First Recidivist Act, in Months, and Level of Offense For Probationers Unsuccessfully Completing By Judicial District

		Average # of Months						
Judicial District	Number Arrested	to First Arrest	B Class Felony	C Class Felony	D Class Felony	Aggravated Misdem	Serious Misdem	Simple Misdem
1	3	3.3	0	1	0	1	1	0
2	1	5.4	0	0	0	0	1	0
3	4	2.1	0	0	1	1	2	0
4	0	0.0	0	0	0	0	0	0
5	20	3.6	0	1	5	5	9	0
6	8	1.9	0	0	1	1	6	0
7	0	0.0	0	0	0	0	0	0
8	1	5.2	0	0	0	0	1	0
TOTAL	37	3.1	0	2	7	8	20	0

Table 36 displays the average time at risk and time to the first recidivist act, in months, as well as the level of the recidivist act committed for the entire study population. Tables 37 and 38 indicate the average time to the first recidivist act and level of offense for the successful and unsuccessful program completers, respectively. The data appear to indicate that those probationers who successfully completed the residential facilities program had a longer period devoid of recidivism following program completion than those who unsuccessfully completed the program. The data also appear to indicate that those who successfully completed and then recidivated tended to commit a more serious first recidivist act in that 67.9% of their offenses could have resulted in a prison sentence. This compared to 45.9% of those unsuccessfully completing the program.

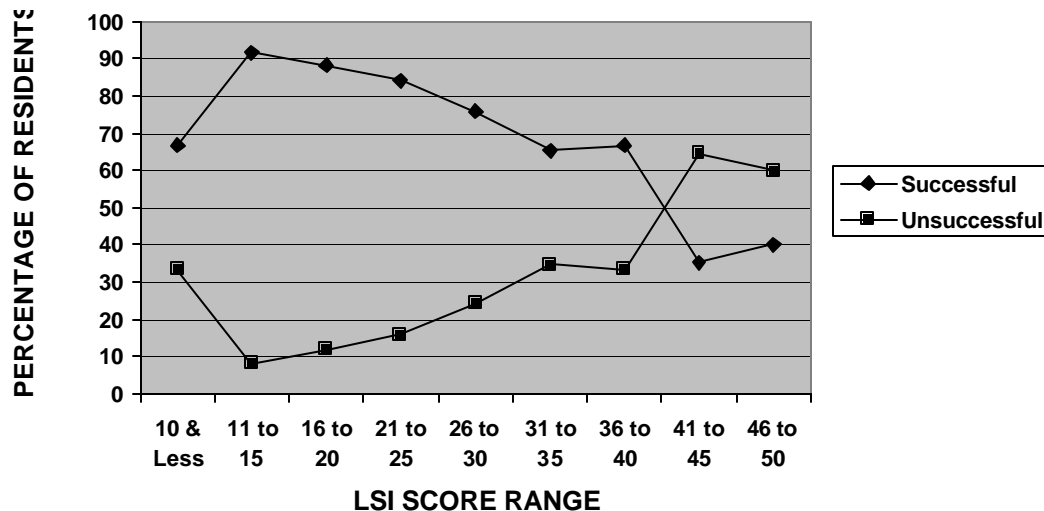
LEVEL OF SERVICE INVENTORY – REVISED (LSI-R)

“The LSI-R is a quantitative survey of attributes of offenders and their situations relevant to the decisions regarding the level of service.”¹⁵ The developers of the LSI-R indicate that “Specific criteria are provided by the LSI-R: identifying treatment targets and monitoring offender risk while under supervision and/or treatment services(,) for making probation/supervision decisions(,) for making decisions regarding placement in halfway houses(,) for assessing the likelihood of recidivism(,)”¹⁶ The scoring scale for this instrument ranges from 0 to 47 in one point increments. In generalized terms, it would appear that the higher the score, the higher the offender risk of recidivism and level of services needed.

One of the goals of this research was to define the relationship between the LSI-R risk level and certain probation outcomes. Due to the fact that most members of the study population had not completed their probation prior to the end of the study period, this could not be done. It should also be noted that while the LSI-R was the “risk assessment” for which the most scores were found to be recorded, 16.3% of the study population did not have the results of this assessment recorded in any available documents or database.

It was possible to illustrate the relationship between the LSI-R score and the type of program completion. This is shown below in Figure 1. These data would tend to suggest that the higher their LSI-R score, the less likely residents are to successfully complete the program.

Figure 1: LSI-R Score Range By Completion Type When Score Is Known



SUMMARY OBSERVATIONS

Overall Similarities and Differences

The residential facilities in all of the judicial districts appear to operate in a very similar manner in what might be considered major policy areas.

Some demographic differences were noted in the probationers admitted to the facilities in the various judicial districts. The first judicial district had the highest percentage of female probationer residents (35.8%) and the eighth judicial district had the lowest (6.9%) percentage. An apparently substantial variation was found in the race of the probationer residents among the judicial districts. In the first and seventh judicial districts, approximately four of every ten admitted probationers were members of a racial minority group, while in contrast, in the fourth judicial district, none of the admitted probationers were members of a minority group. In the first judicial district, the probationers tended to be the oldest, with over 50% being age 30 or over. In contrast, in the eighth judicial district, the age of approximately 90% of the probationer population was 29 and under.

There also appeared to be some variation in the prior criminal justice experiences of the probationers among the judicial districts. In the seventh and eighth judicial districts, more than four of every ten of the residents had apparently not been arrested before the arrest that culminated in their participation in the residential program. In the remainder of the judicial districts, that number was approximately two of every ten. The sixth judicial district residents experienced the highest level of previous felony arrests (49.3%), and the eighth judicial district residents experienced the lowest level of such arrests (20.7%). The eighth judicial district had the lowest percentage of residents with previous felony convictions (10.3%), and the third judicial district has the highest percentage (36.0%) of residents with such convictions. The percentage of residents with a previous misdemeanor arrest ranged from a high of 68.1% in the second judicial district to a low of 50.0% in the seventh judicial district. The percentage of residents with a previous misdemeanor conviction ranged from 68.1% in the second judicial district to 43.2% in the seventh judicial district.

It appeared that there was a substantial difference in the percentage of residents who had experienced previous terms of probation and/or previous participation in the residential facilities program. In the seventh judicial district, only 11.4% of the residents had previously served a term of probation. This contrasted with first judicial district where 56.5% of the residents had previously served a term of probation. In the fourth judicial district, only 6.5% of the residents had previously resided in a residential facility. This contrasted with the sixth judicial district where 35.8% of the residents had previously resided at a residential facility.

Some variation appeared in the number of arrest incidents for which probationers were sentenced to a facility. In the first judicial district, approximately 51.6% of the residents were sentenced to residential facility participation as the result of a single arrest incident. The remainder was sentenced to participation as the result of multiple arrest incidents. In contrast, in the eighth judicial district, 69.0% of the residents were sentenced to facility participation at the result of a single arrest incident.

The level of admission offense appeared to vary substantially among the judicial districts. In the sixth judicial district, 91.0 % of the residents were sentenced to facility residency as the result of a felony conviction. In contrast, in the fifth judicial district, only 59.8% of the residents were sentenced to program participation as the result of a felony conviction.

The data appear to indicate that over 90% of the study population had to wait for admission to a residential facility. While most members of the study population did have to await admission to a facility, there appeared to be a substantial difference in the amount of time spent awaiting admission depending upon the judicial district. The average time spent waiting for admission by the probationers studied ranged from 15.9 days in the seventh judicial district to 94.4 days in the eighth judicial district.

Program length also appeared to differ substantially within the judicial districts. The lowest average time for successful program completion was found in the fifth district, with an average of 2.7 months. This compared with the sixth judicial district where the highest average amount of time, 6.8 months, for successful program completion was found. For those residents not successfully completing the program, an average program time of 1.6 months was seen in the fifth judicial district. This compared to an average unsuccessful completion time of 4.7 months in the fourth district.

The average number of documented disciplinary actions initiated against residents appeared to differ substantially between the judicial districts. In the third judicial district, an average of 5.0 disciplinary actions were initiated against each member of the study population during their residential facility stay. This contrasted with an average of 1.09 disciplinary actions being initiated against each member of the study population in the fourth judicial district. There also appeared to be a substantial variation in the average number of disciplinary actions initiated between the individual residential facilities. The average number of disciplinary actions per member of the study population ranged from 1.09 at the Council Bluffs facility to 5.94 at the Sioux City facility.

The extent to which the facilities' residents were involved in alcohol/drug or escape violations also varied by facility and district. Similarly, differences were noted among the districts in how such violations were responded to with revocation recommendations.

The percentage of probationers successfully completing the residential program appeared to differ substantially among the judicial districts. In the fourth judicial district, 90.1% of the study population successfully completed the program. In the sixth judicial district, 59.4% successfully completed the program.

It appears that there is a difference in the rate of successful program completion when the variable of gender is considered. Of the female members of the study population 82.4% completed successfully. In comparison, of the male members of the study population, only 70.5% appeared to have successfully completed.

There also appeared to be a difference in the rate of successful program completion when the variable of race is considered. Of the Caucasian members of the study population, 75.4% completed successfully. In comparison, of the non-Caucasian members of the study population, only 60.0% completed successfully.

It appears that the age of the resident may be a factor to be considered with regard to the type of completion. Sixty-seven percent (67%) of the study population under the age of 30 at admission successfully completed the program. In comparison, of the members

of the study population who were age 30 or over at the time of admission, 80.9% successfully completed the program.

Recidivism appeared to differ substantially between the judicial districts and between those members of the study population successfully completing the program and those who did not successfully complete the program. Of those successfully completing the residential program, in the eighth judicial district, only 5.6% of the probationers recidivated. In contrast, in the third judicial district, 38.9% of those probationers who successfully completed the program were found to have recidivated. .

Across the judicial districts, there appeared to be a difference in the recidivism rate for those successfully completing the residential program and those who completed unsuccessfully. Of all successful program completers, only 22.6% were found to have recidivated. This compared to a recidivism rate of 28.0% for all of those who unsuccessfully completed the program. When reviewing the recidivism findings in this report, one other factor should be considered. One-half of those who did not successfully complete the program were found to have escaped/absconded from the facility. Of those, one-third had been arrested for the escape, and thus had recidivated. The remaining two-thirds had yet to be arrested even though warrants for their arrest had most likely been issued. If one were to assume that each of those individuals would eventually be arrested based on the existing arrest warrant, those arrests would raise the effective recidivism rate to 61.2% for those unsuccessfully completing the program. Assuming this is the case would allow for the conclusion that while 61% of those not successfully completing the program had recidivated, only 23% of those successfully completing the program had recidivated.

Across the judicial districts, a number of different assessment tools were employed to define the needs and risks of the resident. Within the time frames established for this study, the only assessment tool that appeared to be utilized across the various judicial districts was the Level of Service Inventory – Revised, in that over 83% of the study population had identifiable LSI-R scores. The LSI-R and its relationship to the study population were examined in two ways. First, it was used as a measure of commonality among the probationer residents in the individual judicial districts. This analysis appeared to indicate that with one possible exception, the low, high, mean, median and mode LSI-R scores were generally the same across the judicial districts, indicating that there appears to be a great deal of commonality among the residents as measured by this assessment tool.

A second analysis was conducted to determine if there was some type of relationship between LSI-R score and the type of program completion, successful or not successful. This analysis indicated that the higher the LSI-R scores, the less likely probationer residents were to successfully complete the program.

RECOMMENDATIONS

It is hoped that the findings of this report will be helpful to the DOC and CBC's as they continue their efforts to administer and improve the state's community-based residential correctional facilities. As was pointed out earlier in this report, probationers do not comprise the entire population of these facilities. Offenders on work release and parole, and in some facilities, offenders sentenced for OWI offenses, are housed in the same facilities at the same time as are probationers. Many of the findings associated with any given facility included in this study, particularly those that describe the offender residents (age, sex, race, criminal history, placement-related offense, completion-type, recidivism, etc.), do not portray the nature of the entire facility population. Any responses to findings in this report should include a careful examination of the potential impact that changes made to impact probationers may have on the other types of offenders placed in the facilities or on the state- and district-level system processes in place for other probation programs, work release, parole and OWI residential treatment.

It should also be noted that time has passed since the information about the probationers, policies and practices described in this report was collected. During this time, ongoing state and local efforts to improve Iowa's sentencing and correctional policies or their implementation have continued to occur. Residential facility capacity has increased in some parts of the state. Also during this time, the DOC and each of the CBC's have had to respond to a substantial state revenue shortfall and its impact on their resources and the resources of other agencies and organizations on which they rely for services and support. Findings in this report that suggest the potential for improvement should be considered only while also identifying and considering changes that have occurred since the information in this report was collected.

With the above caveats in mind, however, it seems that across the state, the different CBC's, their residential facilities and other justice system officials have quite a few opportunities to learn from each other. The following listing (although not inclusive) is meant to describe **a number of areas for which consideration of district and facility differences observed during this study might lead to increased efficiencies or other improvements** for the offenders, the staff of these facilities, the larger correctional system including jails and prisons and the general public:

- **Characteristics of probationers placed in residential facilities (e.g. age, race, sex)**
- **Severity of the criminal history of probationers selected for residential placement**
- **Severity of the offenses resulting in probationers' placement in these facilities**
- **Reasons for admission to the facilities (direct sentence or probation violation)**
- **Waiting lists and prioritization for admission of those on waiting lists**
- **Offender assessment tools**
- **Application of disciplinary policies for violations of probation and facility policies**
- **Recommendations for revocations to prison – percent of residents and reasons**
- **Variety of programming available to facility residents**
- **Fees charged to residents for rent, programs and other things**
- **Provision of meals and nutrition monitoring**
- **Length of facility stay for those successfully completing the program**
- **Recidivism of those offenders successfully completing the program**
- **Disposition of those successfully completing the program (where do they go after their release?)**

End Notes

¹ Section 904.102, Iowa Code, 1999 Supplement

² Iowa Department of Corrections, "Annual Report", Des Moines, IA, November 1999, p. 4

³ Section 905.2, Iowa Code, 1999 Supplement

⁴ Chapter 901B.1, Iowa Code, 1999 Supplement

⁵ Section 905.7(1), Iowa Code, 1999 Supplement

⁶ Section 905.7, Iowa Code, 1999 Supplement

⁷ Iowa Department of Corrections, "Annual Report", Des Moines, Iowa, November 1999, p. 45

⁸ Ibid.

⁹ Iowa Department of Corrections, "Five Year Plan and Annual Report FY2000-2001", Des Moines, Iowa, November 2000, p. 19

¹⁰ Ibid.

¹¹ Section 905.7, Iowa Code, 1999 Supplement

¹² Chapter 201 – 43, Iowa Administrative Code

¹³ Section 905.12, Iowa Code, 2001

¹⁴ Section 201-43.1(1), Iowa Administrative Code

¹⁵ Level of Service Inventory – Revised Score Sheet, Multi-Health Systems, Inc., North Tonawanda, NY, 1995, p.1

¹⁶ The Level of Service Inventory – Revised User's Manual, Adams, Don A., Ph.D. and Bonta, James L., Ph.D., Multi-Health Systems, Inc., North Tonawanda, NY, 1995, p.3